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LIFE STORIES OF AUTHENTIC LEADERS

IN HIGHER EDUCATION ADMINISTRATION

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LIFE STORIES OF AUTHENTIC LEADERS IN HIGHER EDUCATION ADMINISTRATION

By

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Dedicated to

Dorothy Burdeshaw, PhD

An Authentic Leader

Who is gently strong and uses firm kindness to promote and foster personal and professional growth to the many potential authentic leaders she has met throughout her esteemed academic career and personal life.

From all those Authentic Leaders …

Thank you for being authentically true to yourself and being there to mentor all of us.

It was your gift and our blessing.

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I can never thank the authentic leaders who participated in this study enough for opening themselves up and revealing their public and private stories. Their insights allowed us to know what it takes to take a courageous principled-stand in an extreme situation. Their contributions to the leadership research will be forever.

And most of all, thanks to Nancy for being my authentic partner for 20 years.

LIFE STORIES OF AUTHENTIC LEADERS

IN HIGHER EDUCATION ADMINISTRATION

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This study researched authentic leaders (Avolio & Gardner, 2005) who were self-aware of their values, beliefs, ethical philosophies, and character strengths while using this knowledge to strengthen their self-regulation. They used positive modeling to enhance follower development, which ultimately promoted veritable and sustainable outcomes personally and professionally that integrated with the authentic leader's purpose in life.

Higher education, as a multi-billion dollar industry, uses shared governance that creates challenges for its leadership. Authentic leaders who hold senior administrative positions within higher education are often confronted with varying levels of administrative challenges, especially immoral, unethical, or illegal policies and practices. Senior administrators are often the frontline for creating, supporting, and maintaining either an inauthentic culture at their institution that supports the status quo or an authentic

culture at their institution that promotes and supports positive change focused on the common good.

This study reviewed the literature regarding eudaimonia, positive psychology, positive leadership, and higher education administration. The focus was on authentic leaders who were senior administrators in higher education administration. This study utilized *life stories* to identify the common themes within these senior administrators' lives that allowed them to develop into authentic leaders who had the moral courage to take courageous principled-action against immoral, unethical, and illegal policies and practices within their institutions. This study produced a theoretical model that was juxtaposed against Avolio and Gardner's (2005) Authentic Leader Model confirming their research, as well as extending their research into the moral courage and courageous principled-action research domains.

This study has primary value for persons interested in having a deeper understanding of leadership, positive leadership, authentic leadership, moral development, moral courage, courageous principled-action, and higher education administration. This study has secondary value for persons interested in developing as an authentic leader, working effectively within higher education administration, or aspiring to develop the moral courage that will support their willingness and capabilities for taking courageous principled-action.

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Chapter I. Introduction

Overview

As a senior administrator in a major institution of higher education, would you be able to take a principled-stand against a practice or policy that you believed was unethical, immoral, or illegal? Would you take a principled-stand knowing your opposition defied the status quo? Would you be willing to jeopardize your career to affect positive change within your institution? Within senior administration, those authentic leaders with the strong moral development, positive transcendent value system, and the will to affect change using courageous principled-actions are known as authentic leaders and authentic senior administrators.

Avolio and Gardner (2005) assert that authentic leaders are *true to thine own self*, have a strong value system, and a courageous willingness to stand up for their principles. Gardner, Avolio, Luthans, May, and Walumbwa (2005) add that the current environment of corruption in many social institutions has refocused the need for research into positive forms of leadership.

Avolio and Gardner (2005) reported a groundbreaking leadership forum for this expressed purpose was held in June 2004 by the University of Nebraska at Lincoln (UNL). The Gallup Leadership Institute Summit, held by UNL in Omaha, Nebraska, was a call to leadership scholars to participate in the enhancement and modification of a proposed leadership model called *authentic leadership*. Multiple leadership and positive psychology scholars constructed the idea for a model based on the theoretical constructs of positive psychology, positive leadership theories, and the philosophy of eudaimonia.

Now in the early stages of model construction, other leadership scholars have been encouraged to comment, contribute, enhance, or modify the model. Avolio and Gardner (2005) believe this new model is the root construct for all other forms of positive leadership, including transformational leadership, charismatic leadership, servant leadership, and spiritual leadership.

Cooper, Scandura, and Schriesheim (2005) note the authentic leadership model is a multi-dimensional level (individual, group, organization) model with multi-dimensional domains using traits, states, behaviors, contexts, and attributions. Luthans and Avolio (2003) and May, Chan, Hodges, and Avolio (2003) stress the requirement for a moral perspective for the authentic leadership model. Avolio and Gardner (2005) confirm that scholars have compiled 10 separate dimensions for the authentic leadership model. While most leadership models include the dimensions of leader, follower, and context, the authentic leadership model includes the dimensions of positive psychological capital, positive moral perspective, leadership self-awareness, leader self-regulation, leadership processes and behaviors, follower self-awareness, follower self-regulation, follower development, organizational context (culture), and performance. Avolio and Gardner's (2005) research for their authentic leadership model can be represented as follows in Figure 1.01 on the following page. Avolio and Gardner (2005) note the central tenant of authentic leadership is leader self-awareness and positive modeling for followers that enhances follower development, which enhances engagement and follower well being, which leads to sustainable and verifiable performances.

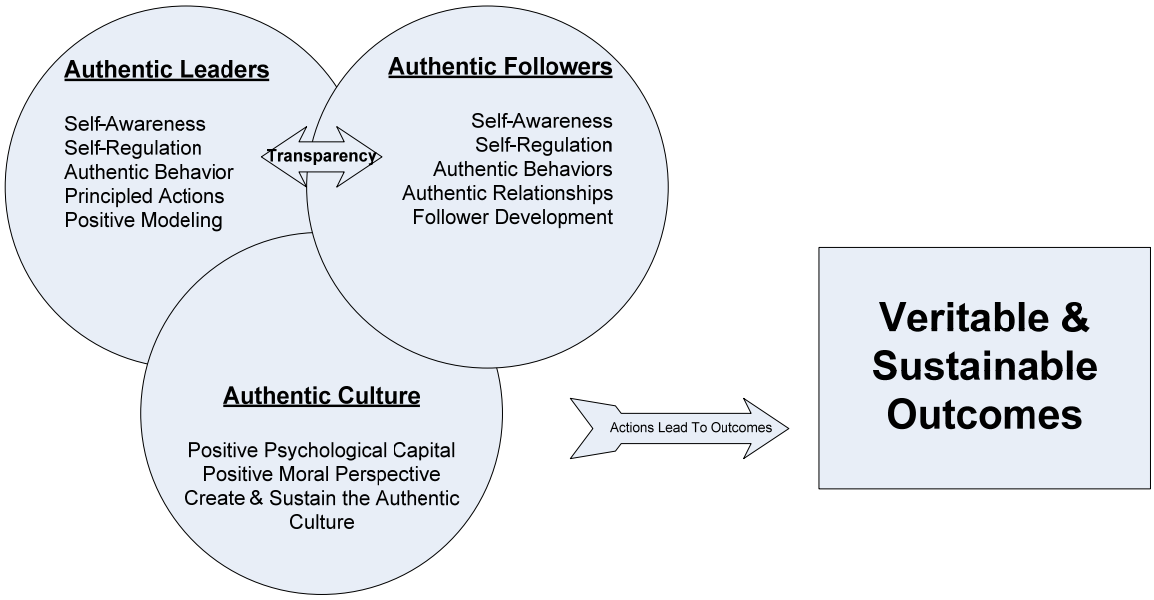

Figure 1.01 Meacham's Representation of Avolio and Gardner's (2005) Authentic Leadership Model

Shamir and Eilam (2005) identify four characteristics of authentic leaders. Authentic leaders are true to themselves rather than conforming to other's expectations. They are intrinsically motivated rather than extrinsically motivated. They lead from their own point of view (moral perspective) rather than by copying others. Finally, their authentic principled-actions are based on their personal convictions, values, and beliefs. Avolio, Luthans, and Walumbwa (2004) state that authentic leaders "are deeply aware of how they think and behave and are perceived by others as being aware of their own and others' values/moral perspectives, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, optimistic, resilient, and of high

moral character" (p. 4). May et al. (2003) contend authentic leaders, when called upon by fate, take a stand that changes *the course of history* for themselves, others, and their institution.

Authentic leaders develop over a lifetime. Hence, every leader is not an authentic leader. The honesty required and dedication needed for self-reflection, self-awareness, and self-regulation elude many leaders. Authentic leaders are passionate about being authentic, morally principled, transparent, focused on others' personal growth, and making a positive contribution in life. They have an inherent mission within themselves that creates a sense of urgency that pushes them toward moral development and courageous principled-actions. Higher education, as a social institution, has many opportunities to enhance authentic leader development, support authentic leadership, and develop, maintain, and sustain authentic academic cultures. Many higher education institutions, cultures, faculties, and administrations have currently not evolved to this ideal state, but have select authentic senior administrators who have tried and succeeded with affecting positive change. This study uses life stories to study authentic senior administrators, their moral development, and their willingness to use courageous principled-actions against unethical, immoral, and/or illegal policies and practices in higher education. These are their stories.

Purpose of the Study

Higher education, as a social institution, is worth billions of dollars annually. As a result, the opportunities for unethical, immoral, and illegal actions abound within the academic culture. These authentic senior administrators have worked toward shifting the

traditional academic culture toward a positive authentic academic culture that welcomes and fosteres authenticity, authentic behaviors, transparency, and ethical, moral, and legal policies and practices. The impact of such a cultural revolution not only enhances the outcomes and integrity of institutions, but also enhances society's confidence in higher education as the premier social institution working toward the public good. Callahan (2004) notes in his book, *The Cheating Culture: Why More Americans are Doing Wrong to Get Ahead*, that most individuals do not seek to be unethical, immoral, or illegal. They simply are enmeshed in the accepted culture (status quo) of making decisions focused on self-interests without much thought of the impact to others, much less any focus toward the public good. Those in positions of power and authority in higher education have often been lost in this same quagmire. Strong authentic leadership, then, has made a difference and modeled the way for a positive authentic academic culture.

This study focuses on authentic senior administrators who have taken a courageous principled-stand against unethical, immoral, and/or illegal policies and practices within an institution of higher education. By taking such a stand against the status quo, they have expressed a willingness to risk their careers for what they believed was right. This study attempts to identify what their life stories can teach everyone about how authentic leaders develop.

What were the participants' value systems, and who/what influenced their moral development? What significant events occurred in their lives that encouraged them to take courageous principled-actions in support of their value system? Which significant events and significant people modeled principled courageous behaviors for them? What

type of situation (unethical, immoral, or illegal) triggered them to take a stand? What was the impact on them based on the courageous principled-stand taken? Had these experiences moved them toward more authenticity?

Research Questions

The following research questions are addressed in this study:

1. What similar and/or dissimilar themes will the participants use to describe themselves as authentic leaders?

2. Which value and/or belief systems did the participants ascribe to?

3. From where did the participants' moral development and foundation for authenticity come?

4. What are the interactions of the trigger events and personal insights that enhanced moral development and authenticity?

5. What gives the participants the interpersonal strength to act authentically and courageously when faced with unethical, immoral, or illegal issues in the workplace even when they knew or should have known their actions could potentially cost them their administrative careers?

Definitions of Terms

- Senior administrators refer to individuals who usually have an advanced education (master's or doctoral degree) and years of academic administrative experience that allows them to hold a senior level position of authority and attendant responsibility within a higher education institution. Titles reflecting senior administrative authority and responsibilities include, but are not limited to, Senior Administrator, Dean of Students, Vice President, etc.
- Large public or private research universities refer to institutions of higher education focused on the promotion of advanced learning with a student

enrollment level of 15,000 or more and a strong emphasis on research. Institutions large enough to support student enrollment levels over 15,000 are more complex, high risk, and tend to be entrenched within the traditional academic culture. Research institutions tend to have multiple internal and external funding sources requiring allocation and management decisions, which often lead to unethical, immoral, and illegal practices.

- Administrative careers redirected refers to outcomes when the institution attempts, through its agents, to pressure senior administrators into accepting either another position of lesser authority or status, reassignment as retaliation, or the choice of sacrificing, voluntarily or involuntarily, their administrative career at that institution because they took a principled-stand.
- Unethical refers to those thoughts, words, and behaviors that defy societal norms for ethical or principled conduct. Violations are against principles or policies, not laws. Ethical or principled-conduct are based on established and accepted ethical philosophies and value systems that are defined by other-interests (such as the public good) rather than self-interests. The minimal value system expected is based on societal norms, not a transcendent value system. Examples of unethical practices include, but are not limited to, using incentives/disincentives to constrain fiduciary responsibilities, withholding relevant facts from decision-makers to ensure a particular outcomes, administration consciously not exercising their fiduciary responsibility to protect employees from other employees, pressuring faculty to alter grades, constraining leave time for non-work related

reasons, bending policies for self-enhancing reasons, and extracting information for intimidation purposes.

- Immoral refers to violations of socially accepted norms based on morally developed and authentic value systems. These authentic moral systems are other-focused, supportive, accepting, inclusive, and positive. Examples of immoral policies or practices include, but are not limited to, acts of incivility, damaging political agendas, misuse of power and influence, laissez faire practices that resulted in harm or could reasonably be expected to result in harm, verbally abusive behaviors, institutionalized discrimination, and significant unprofessionalism.
- Illegal refers to violations of federal or state laws, as well as municipal laws or codes. Examples of illegal practices included, but are not limited to, state violations of nepotism laws, fiscal mismanagement, fraudulently authorizing payrolls, mishandling federal, state, and local grant funds, expending federal financial aid for other than educational purposes, and fraudulently placing a person within a state position that was not advertised publicly.
- GLBT refers to gay, lesbian, bisexual, and transgendered people and/or issues.

Design of the Study

In this multiple case study, the researcher conducted a series of semi-structured interviews designed to elicit the life stories of authentic senior administrators from large public or private research universities. Life stories focus on significant events and role models throughout the lifetime of authentic senior administrators and meanings

constructed based on the significance given to these events and people. Themes sought identified the significant events and role models that enhance the moral development, authentic development, and principled courageous development of the participants.

A pilot study conducted prior to the official interviews tested the validity and reliability of the interview questions. A senior administrator from a large, public, research university was identified and interviewed using semi-structured questions. Pilot study participants provided feedback so the semi-structured questions and the researcher's interviewing style could be adjusted prior to the official study.

The official interview used a developmental perspective requiring a small selective sample that focused on authentic leadership as a personal journey of growth, and used life stories to gain insights and themes. The reference period included the lifetime of the participant since authentic leadership is posited by the researchers to require 40 years or more to develop authentically. Ipsative measures (measure within-person change against the person) were used for individual analyses while normative measures (measure against a norm) were used for the collective analysis to identify the significance of themes and insights. The context of the study was the individual level of leadership rather than the group or organizational level. Variables indicating enhanced self-awareness, self-regulation, positive modeling, and authentic behaviors were investigated with a focus on those meanings and insights that would lead to the moral development, authenticity, and courageously principled-actions used to affect change within their institutions.

Selection criteria included identifying senior administrators from large, public or private, research institutions who had proven their authenticity through courageous principled-actions designed to affect positive changes within their institutions. To participate, these authentic leaders had to be 40 years old or older, hold or have held a senior level administrative position, and have or have had their senior administrative career redirected, voluntarily or involuntarily, by the institution for taking a courageous principled-stand against unethical, immoral, or illegal policies and/or practices.

Themes and insights were determined through a process of coding and interpretation designed with a strong idiographic emphasis (focused on unique events) on the six single case studies. Individual interpretations, as well as a normative comparison within this elite group, enhanced understanding of the study's results and significance to authentic leadership, and moral courage and courageous principled-action research.

Significance of the Study

Substantive research on the authentic leadership model is in the initial stages of development and assessment. Authentic leadership scholars have identified various themes, but any other emergent themes that develop authenticity or authentic leaders need to be identified. This study focuses on authentic leaders in senior administration and the complexities, high risks, and challenges they encounter within the context of higher education. Focusing on the meanings, insights, and significant events from the participants' life stories enhances future authentic leadership development guidelines for academic senior administrators, corporate leaders, and various leaders within other social institutions.

Assumptions and Limitations of the Study

In this study, certain assumptions and limitations that might affect the study design, interpretation of results, and conclusions reached are identified. Critically, a major limitation of the study is the lack of qualitative and quantitative assessment tools identified or available to assess authentic leadership. Currently, the newness of the theory and model has hampered the development and validation of such assessment tools.

A significant assumption/limitation is the identification by the researcher of these participants as authentic leaders. Based on their initial self-report of their courageous principled-action against unethical, immoral, and/or illegal policies and practices, the researcher assumed all six participants would qualify as authentic leaders. Their courageous principled-actions were conscious behaviors taken with complete understanding and acceptance of the personal and professional risks involved, which validated their moral courage, as well. The researcher cross-validated these assumptions by contrasting the participants' self-reports with the authentic leader research, which confirmed that the participants' actions would initially assume them to be authentic leaders.

Another significant assumption/limitation includes self-report bias and interpretation bias. Both are assumed minimized based on the accuracy, honesty and authenticity of these authentic leaders' (participants and researcher) answers and recollections during interviews and during the interpretation of data. The authentic leader research validates that authentic leaders are more readily assumed to lack self-report bias

than for non-authentic leaders due to their passion for self-awareness, authenticity, and transparency as validated by the authentic leader research.

Finally, it is assumed that the perceptions and social constructs of the researcher might influence the design, interpretation, and conclusions of the study. Her positionality might directly influence the participants. In addition, the social constructs of the participants, potentially viewed through different lenses based on their life experiences, might influence their role as participants. Collectively, the shared authentic value systems, similar moral development, passion for higher education administration, and past courageous principled-actions shared by the researcher and participants might have influenced their shared roles of socially constructing what it meant to be an authentic leader.

To minimize any potential perception of bias regarding the interpreted data, the researcher acknowledges that when bias is reflexive, unacknowledged, or unrecognized, such unawareness supports bias and the perception of bias. She acknowledges she is both an insider and an outsider in the study. Due to the sensitive and confidential nature of the study, her insider status as a senior administrator in higher education who used moral courage to take courageous principled-actions against unethical, immoral, and illegal practices encouraged the participants to let her enter their world. Knowing that the researcher's career had been similarly redirected enhanced the participants' trust with the researcher and the process. However, the researcher acknowledges no one can truly enter the world of another, which simultaneously relegates her to outsider status. To minimize the perception of bias, here is her story.

As the researcher, my own personal story can directly influence the topic studied, the perceptions brought into the process, and interpretations of data. That same story can open the door into the inner world of the participants, allow me to ask the unspoken questions, and ensure the nuanced interpretations of the participants' heard and unheard communications. Understanding the complexities of higher education and leadership would not have been enough for this study; having an understanding of their administrative experiences and sensitivity to the costs and benefits of those experiences allowed the participants to discuss their experiences, feelings, impressions, and insights regarding the significant events associated with their senior administrative positions.

I was an administrator in an anarchical institution who was being promoted to a department under investigation by the State Attorney General's Office and the local District Attorney. Faculty at this institution had much power, influence, and sway with administration. My story began that first fateful day when my first image of the new department came during a tour to visit with staff and faculty. Every office, no matter the occupant, was constrained, austere, sterile, and spartan. There were no hangings or pictures on any walls. There was retro furniture in each office. None of the desks had anything on the surfaces, not even a pencil. However, beside each and every desk was a brand-new, shiny shredder…leaving me with the profound understanding that eliminating the paper trail was more important than eliminating the behaviors that had catalyzed the State's recent investigation where several administrative staff and the Chair had been targets .

After much success redirecting thoughts, attitudes, and behaviors with a positive vision for the department and an authentic and effective leadership approach, reality set in as old faculty behaviors reemerged. When cosmopolitan (unconstrained and powerful) faculty view recalcitrant and oppositional thoughts, actions, and deeds as honorable, even an authentic leader can be challenged to change such unproductive thinking.

Through persistence and the utilization of a strong value system reframing what was honorable and productive, I continued to work with these faculty to create and maintain an authentic culture. Struggles ensued over what was ethical, what was legal, and what was the right way to devote our time and energies. Yes, my vision was based on my own personal value system of integrity, collective well-being, and compassion, but it was their past vision that had gotten them into the previous investigation; clearly, another vision was necessitated by the current circumstances. My personal power of persistence and resilience gave them pause. How could

they revert to old behaviors and deeds when confronted by such a formidably determined and persistent senior administrator?

Political skills and strong relationships within the institution became powerful tools for change. As the struggle for the hearts and minds of the faculty, students, and staff continued over the months, a foreboding crept over me. I could sense it. I could feel it. I could taste it. I could sense the Administration closing ranks with the very individual they had had investigated a mere four years earlier as the sole instigator of the impropriety.

How could Administration protect him? They were completely aware of his past (and current) modus operandi because they had been kept informed. Why were they protecting one of the most powerful people in the institution rather than supporting efforts to do the right thing for the institution and society? Yet, I persisted because I was doing the right thing. Never once did I think about there being a personal loss to me for continuing my efforts; my only consideration was of the psychic cost to me and others if I did not continue with my efforts to steer others into doing the right thing.

Ultimately, the institution's short-term strategy was to redirect my career as the more expedient effort rather than trying to constrain so powerful and agile a faculty member. Yet, "why did I persist with my efforts against so powerful a person?" and "why was I willing to take such actions to do the right thing against such egregious institutional pressures?"

That moment in time became the catalyst for this research project, which allowed me to have the sensitivity, understanding, and competencies to research these issues and allow other similarly positioned senior administrators to give voice to their stories. From their stories came the insights that will help us all: to understand ourselves, who we are to others, and where we are going while on our life's mission. My positionality as a senior administrator who had been there allowed me to open the doors to the hearts and minds of these authentic senior administrators who participated in this study, giving them voice to their insights so that we could all learn from them. And I learned much.

Organization of the Study

This study includes five chapters. Chapter One presents an overview of the study. Chapter Two presents an overview of the literature related to authentic leadership and

senior administrators. The theoretical framework for authentic leadership includes an overview of the philosophy of eudaimonia and the discipline of positive psychology. The contextual framework for the study includes an overview of leadership theories and higher education administration. The major concepts supporting authentic leadership include an overview of authenticity, moral development, moral courage, and courageous principled-actions. The specifics of the authentic leadership theoretical model are presented, including the dimensions of leader, follower, and context (culture). Finally, the specific dimensions focused upon for this study include authentic leaders, their moral development, and moral courage and courageous principled-actions, as well as the challenges faced in academic administration. Chapter Three describes the life stories method, including design of study, selection criteria, protocol development, data collection, and data analysis techniques. Chapter Four summarizes the results of the six participants' stories. Chapter Five includes a discussion of the normative analysis of the collective results with discussion on how the study relates to the literature and adds to the literature. A discussion of an ipsative analysis of the collective results is briefly discussed. Insights and implications, as well as suggestions for future research, are presented.

Chapter II. Literature Review

Introduction

The relevant literature on authentic leadership included the theoretical framework of eudaimonia and positive psychology. The contextual framework for this study included an overview of current leadership theories and an overview of higher education administration. Three major concepts required for a basic understanding of authentic leadership included authenticity, moral development, moral courage, and courageous principled-actions. Then, the theoretical model for authentic leadership was discussed, including the dimensions of leader, follower, and context. Finally, authentic leaders, their moral development, and their willingness to use courageous principled-actions were analyzed within the context of challenges within senior administration in higher education.

Eudaimonia

Avolio and Gardner (2005) asserted that the theoretical framework for authentic leadership was the philosophy of *eudaimonia*, positive psychology, and positive leadership theories. Cooper (1986) documented that Aristotle (384-322 BCE), a Greek philosopher, contemplated and wrote about many subjects, including logic, physical works, psychological works, and works on natural history. However, Aristotle was probably best known for his thinking and writings that culminated in his philosophical works, including his philosophical works on eudaimonia and eudaimonic ethics.

Although Aristotle also used other expressions, such as living well and doing well, Ackrill (1999) determined the most accurate definition of eudaimonia, according to Aristotle's writings, was "the most desirable sort of life, the life that contains all

intrinsically worthwhile activities" (p. 63). Eudaimonia was sought for its own sake and not for the sake of anything else since it was what all individuals wanted. It referred to life, not the outcome of a lifetime's efforts or something to look forward to, such as retirement. It was inclusive of all intrinsic good, as well as all activities perceived as valuable. According to Aristotle, right actions were taken for the sake of eudaimonia. Some scholars had defined eudaimonia as happiness, but this would be a limited conception. Rather than imply happiness, comfort, or pleasure, it connoted the best possible life. Hence, it was not the result of doing well, but rather the concept of doing well, a complete and perfectly satisfying life in accordance with all the virtues. Ultimately, eudaimonia was an activity of the soul based on following all the virtues. Chazan (1998) noted that Aristotle believed those who lived a reasoned life with an active power of moral discrimination lived a eudaimonic life. A virtuous life in itself created eudaimonia where individuals were not constrained by others for their pleasure or advantage.

Cooper (1986) studied Aristotle's works and concluded that eudaimonia referred to *human flourishing* or human good. Aristotle believed the most substantive understanding of ethical theory included a grasp on eudaimonia as the correct ultimate end for human existence. He conceptualized the ultimate end as achieved through action as being desirable for its own sake; therefore, all other desires should focus on this ultimate end. Aristotle believed there were multiple ultimate ends attainable, but attaining the correct ultimate end (eudaimonia) required the desire for the ultimate end plus the desire to attain eudaimonia exclusively for its sake and for no other sake. Hence,

eudaimonia was the correct ultimate end. Mature virtuous individuals focused on attainment of the correct ultimate end, but decided what actions they needed to take in their life to flourish. Reasoning individuals had a life plan that identified what it meant to flourish, determined the principles that support flourishing, prioritized activities that led to flourishing, and appropriately pursued these activities with the vigor merited. Aristotle considered these activities as *good things*. He promoted the pursuit of multiple good things, recognizing that several forms of excellence were worth pursuing. Cooper (1986) maintained that Aristotle believed "the best excellence is that of the best thing in us" (p. 100). Intellectual excellence supported the excellences of character, which promoted moral behavior.

Cooper (1986) noted Aristotle's assertion that eudaimonia was attained through individuals' own efforts. Others' efforts cannot attain eudaimonia for the individual. This taking charge or agency would lead to flourishing. In order to take charge of one's life, individuals must possess and exercise the character virtues. Through individual flourishing, others would feel the desire to model the correct behaviors that would lead to eudaimonia. The eudaimonic person displayed both an excellent moral and an excellent intellectual personality. Through moral character, moral and intellectual personality would lead to flourishing. Aristotle stated that morally virtuous activities should always be pursued first with intellectual activities a close second.

McKinnon (2005) posited "for humans to be happy they have to be well pleased with the things that matter to them most" (p. 55). As social beings, therefore, other individuals' assessments of one's character matters. Self-aware individuals understood

that character traits within themselves were learned through the socialization process and reflected back to the self those higher-level character traits that were important to develop, which would ultimately provide benefit to society. The interconnection of self and society was evident. Self-development promoted flourishing while such self-flourishing directly benefited the flourishing of society.

Chazan (1998) understood Aristotle's view of rationality as having the right vision, which was how another person of moral wisdom would see and understand the circumstances. Rational individuals sought to act virtuously as they took pleasure in their choices. Aristotle believed the virtuous emotional response was inseparable from correct understanding and correct judgment.

Chazan (1998) identified inner strength and resilience as hallmarks of Aristotle's virtuous individual. Aristotle called this inner strength psychic capacity, which allowed individuals to love themselves and see the virtue within. Self-awareness increased psychic capacity, which allowed individuals to handle misfortunes with quiet pride rather than hopelessness or resignation. They were to avoid non-virtuous behaviors that promoted feelings of worthlessness while remaining consistent of character, demeanor, and behavior. Confidence born of inner strength provided the self with the right kind of self-love. Inner strength promoted resilience from the traumatic impact of life's misfortunes. Trauma and disappointment would not diminish the inner strength of a virtuous individual.

According to Chazan (1998), Aristotle believed virtuous individuals had a certain kind of emotional self-regulation that led them toward a healthy life. Appropriate self-

regulation resulted in an emotional-affective life where the individuals could effectively modulate emotions and affects, which allowed them to find pleasure in the right things.

Chazan (1998) added that Aristotle believed a virtuous life required both self-love and friends. The right kind of self-love allowed the self to notice others and develop friendships. Individuals with virtuous self-love had a sense of rational agency where their actions were guided by their own clear and just understandings, not by external pressures. If virtuous self-love was present, the right kind of relationship between self and others could flow, which was positive and foundational for all human beings. The correlation between love of self and virtue was positive. Inner strength and resilience were hallmarks of Aristotle's virtuous individuals. They had a self-awareness of their own virtue, continued to strive to become more virtuous, and had the psychic capacity to remain virtuous. Attitudes and behaviors exhibited were characterized by delayed gratification, temperateness, flexibility, and the capacity to trust, while maintaining calmness, consistency, and courage. Virtuous individuals had the requisite psychic capacity within them that made character-friendships possible. The right type of self-love enabled individuals to relate to others and value them for who they were as whole and complete individuals.

Chazan (1998) posited that Aristotle believed empathy was necessary to identify and maintain an intimate relationship with another individual. Without self-love, self-awareness, and a priority on the self, virtuous individuals would not have the empathy necessary to bond with others. Aristotle believed empathy was learned through the right kind of habituation and training.

Chazan (1998) reported Aristotle's belief that only virtuous people were capable of character-friendships. Non-virtuous people tended to engage in advantage-friendships where they sought pleasure or advantage from their friends, rather than value friends and friendships in and of themselves. Friends in a character-friendship valued the character of the virtuous individual, responded to, and were drawn toward their friend's virtuous self. Virtuous individuals had the requisite psychic capacity within them that made character-friendships possible. Those in advantage-friendships tended to have a certain psychic deficiency that relieved them of the capacity for a character-friendship. Virtuous individuals could focus on others simply to relate to their selves, rather than to satisfy a personal need. Virtuous individuals did not do mean and hateful things within a relationship because of their self-love and by extension, love for others. Those in character-friendships often felt a sense of healthy dependence based on seeking the esteem of other virtuous individuals rather than the dependence of seeking the judgments of just any individual.

Chazan (1998) noted Aristotle's three defining features of a character-friendship: wishing the best for others for their sake only, wishing for the survival of self and others so all could continue to strive for eudaimonia, and wishing to be free of inner conflict. Conflict, instability, and changeability of self were inhibitors to strength and inner harmony, which were required for virtue. Eudaimonia was achieved when inner harmony was promoted and present, which in turned promoted self-love.

Riker (1997) noted that Aristotle taught that the ideal ethical life centered around the self, which must be developed based on a universal ideal of what was good. Mature

(virtuous) individuals lived autonomously and rationally. They were self-aware, acted virtuously, understood others, and participated for the good within their societies. Ethics allowed individuals to self-actualize to their greatest potential (the good). Aristotle considered ethics to be the art of self-constitution. The self chose *how to be* (ethics) and then directed its path through rational deliberation according to these choices.

Ilies, Morgeson, and Nahrgang (2005) posited that authentic leaders would strive for authenticity because of their philosophy that "how one lives one's life in relation to oneself and to others" was an important component to their life decisions (p. 374). Authentic leaders would strive to enhance their authenticity while supporting followers' quests toward personal authenticity. The ultimate philosophical goals of authenticity were finding human happiness and an acceptance of the worthiness of the human existence. Waterman (1990) interpreted Aristotle's philosophy of eudaimonic well-being as encapsulating these two ideals based on Aristotle's belief individuals should live their lives in a manner that expressed their sense of virtue and excellence of character. Hence, Waterman (1993) later described eudaimonia as personal expressiveness when feeling alive, feeling uniquely fitted to the activities at hand, and feeling intensively involved in those activities focused on the societal good. Eudaimonia related to peak experiences of joy, interest, and motivation while leading. Keyes, Shmotkin, and Ryff (2002) conceptualized eudaimonia within the context of realizing one's true potential across one's lifespan. Ryff (1989) and Ryff and Keyes (1995) proposed six distinct aspects of wellness that influenced self-actualization, which required authenticity. These included personal growth, self-acceptance, autonomy (self-determination), purpose in life, mastery

over one's own environment (environmental mastery), and positive relationships. Ryff and Singer (2000) believed positive relationships were the end goal. Therefore, positively managing interpersonal situations and relationships was paramount for attaining self-actualization.

Shamir and Eilam (2005) described authentic leadership as a eudaimonic activity. Authentic leaders were true to themselves and sought leadership to promote a cause or a mission (eudaimonic activities). Authentic leaders sought to make a difference, were self-actualized, and sought to use their virtues, skills, and talents for the greater good.

Positive Psychology

Avolio and Gardner (2005) asserted that the theoretical framework for authentic leadership was positive psychology, positive leadership theories, and the philosophy of eudaimonia. First, positive psychology was analyzed within the historical context of modern psychology. Second, multiple psychological concepts were analyzed, including identity, self, emotions, meta-cognition, and motivation. Finally, the two psychological components of the authentic leadership model (self-awareness and self-regulation) were studied, along with the complimentary concepts of values, flow, courage, and action.

History of Modern Psychology

Newman (1992) chronicled the history of humanistic psychology, the precursor to positive psychology, to the 1950s and 1960s in America. Challenging the constructs underlying psychoanalysis and behaviorism, the humanistic psychologists proclaimed themselves to be the *third force*. The third force sought to return psychology's focus to

the self and away from unconscious conflict (psychoanalysis, the *first force*) and determinism (behaviorism, the *second force*).

Newman (1992) identified multiple scholars with the humanistic movement, including Kurt Goldstein (1878-1965), Karen Horney (1885-1952), Gordon Allport (1897-1967), Erich Fromm (1900-1980), and the existential psychologist, Rollo May (1909-1994). However, Carl Rogers (1902-1987) and Abraham Maslow (1908-1970) were the most identifiable and considered by many to be the founders of humanistic psychology.

Newman (1992) recognized Maslow as the driving force behind humanistic psychology and Rogers as the natural spokesperson for humanistic psychology. Maslow's interests included theorizing on human nature and human morality. His seminal work published in 1954 (revised in 1970) on human motivation resulted in his Hierarchy of Human Needs model. Five levels depicted a pyramid representing needs in hierarchical order from bottom to top. Lower needs (more powerful needs) included physiological needs (food, water, air, and sleep), safety needs (structure, order, security, and predictability), love and social belonging needs (friends, companions, family, group identification, and intimate relationships), esteem needs (prestige, acceptance, status, feelings of adequacy, competence, and confidence), and self-actualization (transcendency). In 1970, shortly before his death, Maslow added to his top level the cognitive needs to acquire knowledge and to understand that knowledge, as well as the need for beauty, balance, and structure (aesthetic needs). Those who reached self-actualization transcended the self to focus on others. They became aware of their own

fullest potential while being aware of the fullest potential of human beings within society. Such a transcendent state allowed for ecstatic joy, but also brought an awareness to the forefront of human's ability to squander their own chances for transcendence. Maslow had the goal of identifying the *correct* way to live and disseminating this information to society.

Newman (1992) reported that Roger created the Client-Centered therapy, which emphasized subjective experience over research. Rogers believed therapists had a duty to provide clients with empathy and unconditional positive regard while *being real* with them during their psychotherapy sessions. He allowed clients to direct the therapy so they could develop to their own full potential. Roger's philosophy followed humanistic psychotherapy since its concepts included a holistic view of the client, an emphasis on personal development, and a structuring of the therapeutic process to aid in this development. Humanism sought to alleviate human suffering. Maslow and Rogers referred to humanism as a positive psychology. Later, other psychologists would continue into the new millennium their work on positive psychology.

Positive Psychology

Engler (2006) noted that Martin E. P. Seligman and Mihaly Csikszentmihalyi had accepted the mantle of positive psychology from Maslow and Rogers. Positive psychology focused upon the positive aspects of psychology rather than pathology and victimology. The emphasis was placed on understanding the complex psychological behaviors that developed and enhanced human strength and virtue.

> Seligman and Csikszentmihalyi (2000) defined it as "the field of positive psychology at the subjective level is about valued subjective experience:

> well-being, contentment, and satisfaction (past), hope and optimism (future), and flow and happiness (present). At the individual level it is about positive individual traits – the capacity for love and vocation, courage, interpersonal skill, aesthetic sensibility, perseverance, forgiveness, originality, future-mindedness, spirituality, high talent, and wisdom. At the group level it is about the civic virtues and the institutions that move individuals toward better citizenship: responsibility, nurturance, altruism, civility, moderation, tolerance, and work ethic" (p. 5).

Engler (2006) noted that "previous studies on positive personal traits such as subjective well-being, optimism, happiness, and self-determination are incorporated into the new [positive psychology] framework" (p. 371). A complimentary dimension of positive psychology promoted by Maslow, which he called the *fourth force* was called *transpersonal psychology*, which was a psychology focused beyond the self. The focus was on "those states and processes in which people experience a deeper or wider sense of who they are and a sense of greater connectedness with others, nature, and the 'spiritual' dimensions. Transpersonal psychology assumes that such experiences involve a higher mode of consciousness that transcends the ordinary self and ego" (pp. 371-372).

Psychological Concepts

The psychological concepts of identity, self, emotions, meta-cognition, and motivation were discussed. Self concepts included self-views, possible selves, narratives of the self, self-information, and self-guides. Emotion concepts included compassion, psychological states, psychological capital, emotional contagion, and psychological well-being.

Identity

Schlenker (1985) defined identity as "a theory (schema) of an individual that describes, interrelates, and explains his or her relevant features, characteristics, and experiences" (p. 68). Two types of identities discussed in the literature included personal identities and social identities, which were elucidated through the process of self-identification. Schlenker (1985) defined self-identification as the process of "fixing and expressing one's own identity, privately through reflection about oneself and publicly through self-disclosures, self-presentations and other activities that serve to project one's identity to audiences" (p. 66). Banaji and Prentice (1994) noted that through this process, personal (individual) identities were self-categorized specifying how one differed from others based on traits, attributes, and other unique characteristics. Hogg (2001) claimed that through the process of self-identification, social identities were developed. The self identified the social group it was most comfortable belonging to and felt more or less a member of this group depending on the emotional significance and value significance placed on this membership. Erickson (1995a) argued that both personal identities and social identities formed over long periods based on self-reflection regarding perceived interactions between self and others. Park and Peterson (2003) maintained that positive psychological traits contributed to personal fulfillment. Traits such as curiosity, hope, kindness, and prudence nurtured individual development.

Self

Chan, Hannah, and Gardner (2005) believed the self was an adaptive, dynamic system that was an evolving, learning entity; hence, the "knowledge structures that make

up the self are learned and continually developed over time" (p. 33). George (2003) said leaders used self-awareness to determine their unique purpose, passions, underlying motivations that directed behaviors, and ultimately, who was the self. Bass and Steidlmeier (1999), transformational theorists, asserted that the true self must be analyzed in terms of the leader's values and ethics used to influence inspirational motivation, intellectual stimulation, and individualized consideration. Kouzes and Posner (2002), leadership experts, suggested that when leaders clarified their personal values, this clarification allowed them to find their own true voice (self).

Markus and Wurf (1987) determined the self's motivation toward goal attainment (personal strivings, benchmarks, and idealized visions) could be impacted by self-views and possible selves. Self-views could reflect who individuals thought they were while possible selves could reflect who individuals thought they could become. Gardner et al. (2005a) observed that authentic leader's self-views and possible selves reflected leader identification with an emphasis on being a positive change agent. Swann (1983), Swann, Polzer, Seyle, and Ko (2004), and Swann, Rentfrow, and Guinn (2003) noted when personal strivings were connected to self-views, self-enhancement motives surfaced. When goals were primarily linked to possible selves (a futuristic focus), self-verification motives surfaced as accurate information was sought to gauge developmental progress. The goals sought could be used to verify, validate, and sustain one's existing self-concepts. Gardner et al. (2005a) posited that accurate self-views were important since they indicated a level of self-clarity that enhanced authenticity. Authentic leaders, therefore, were primarily motivated by self-verification and self-improvement goals

while less authentic leaders were motivated by self-enhancement and self-protection goals.

Sparrowe (2005) asserted that constructing the self was not about discarding all other factors, but of "crafting a distinctive plot through which one's own character takes shape. It involves experimentation with provisional story lines, counterfactual pasts, and hypothetical futures" (p. 433). "Narratives of the self – just like values and purposes – can be authentic or inauthentic" (p. 433). Ricoeur (1992), a hermeneutical philosopher, defined self as the *narrative* of interwoven life stories uniting disparate events, actions, and motivations. The self was theorized to be a narrative project that addressed issues of constancy and change (static and dynamic). Change was referring to the developmental aspect of the self, while constancy was referring to an accepted value system that comprised the self.

Kernis (2003) asserted that individuals, when processing self-information, could be unbiased with that processing if they minimized denial, exaggeration, distortion, or ignored their internal experiences, private knowledge, or external evaluations of the self. He called this process *unbiased processing of the self*. When Tice and Wallace (2003) documented that the social psychology literature indicated that self-deception occurred, but by varying degrees, Gardner et al. (2005a) preferred to use the concept of balanced processing. Authentic leaders were less ego-involved and more intrinsically motivated to accomplish their values and goals. They were more likely, therefore, to seek relevant and accurate information to ensure they were effective with attaining these goals. Kernis (2003) suggested how authentic leaders tended to possess optimal self-esteem, while

Gardner et al. (2005a) suggested that they more objectively assessed both positive and negative aspects of themselves. Vaillant (1992) suggested that those authentic leaders who objectively self-assessed by using minimal distortion of their reality tended to experience higher and sustained levels of physical and psychological well-being. Gardner et al. (2005a) stressed authentic leaders valued accurate self-assessment so used more balanced processing as they effectively pursued their core beliefs and end values. They shunned self-enhancement and self-protective defense mechanisms due to their focus on the self, their value system, and their sought after goals.

Sparrowe (2005) identified four commonalities when defining self in relation to authenticity: (1) awareness of self independent of others was required to be authentic; (2) values and purposes comprised the true self; (3) self-regulation facilitated transparency and consistency; and (4) authentic leadership and moral leadership were related. Various scholars defined the true self in relationship to values, purposes, voice, or positive psychological states. Regardless of the approach, understanding the true self requires self-awareness, and this awareness must be independent of others. The self was not true unless it was undisturbed by the influence of others. In addition, the leader's distinctive values that constituted the true self were more static than dynamic. This constancy in the true (core) self was essential for self-regulation so the leader could be transparent. It ensured behaviors were consistent with the true self (not ever changing). Because authenticity was on a continuum, Luthans and Avolio (2003) asserted that a leader striving for heightened authenticity had a malleable (not static) working self-concept that

evolved the leader's values and purposes over time to incorporate the different perspectives of people, situations, and contexts they had encountered.

Boldero and Francis (2002) observed that self-guides were the standards used to determine desired self-aspects. If the focus was on ideal self-guides or ought self-guides, different goals would pervade. Ideal self-guides specified what an individual would like to possess, such as hopes and aspirations. Ought self-guides specified what an individual should possess, such as duties and obligations. Gardner et al. (2005a), therefore, asserted that enhancement of authenticity increased self-congruence between the idealized self and the true self, which resulted in more positive emotions that led to a sense of well-being. Those with high self-clarity and high self-certainty tended to have greater psychological well-being. Authentic leaders exhibited a tendency for both high self-clarity and self-certainty. In addition, emotions influenced the self.

Cassell (2002), Frijda, Manstead, and Bem (2000), and Oakley (1992) explained that emotions were a type of communication that enhanced perception and understandings of events, people, and reality. Lewis (2000) indicated that emotions referred to elicitors, behaviors, states, or experiences. Frijda et al. (2000) documented that emotions involved physiological changes, feelings, expressive behaviors, and the urge to act upon these emotions. Clore and Gasper (2000), Markus and Kitayama (1991), and Ortony, Clore, and Collins (1988) posited that these emotional responses were self-directed or other-directed. Michie and Gooty (2005) added that leaders differed in their capacity to experience positive other-directed emotions. Compassion and passion were two distinct emotions that were highly desirable in leaders, especially authentic leaders.

Klenke (2005) noted that compassion "means to feel with others, to enter their point of view and realize that they have the same fears and sorrows as oneself" (p. 166). When individuals connected with another person, they were able to identify with the other, which allowed for the expression of compassion. Passion was an expression of "the burning desire to lead, serve the customer, or support a cause or product..." (p. 166). Blum (1980) stressed that a person using compassion when working for social justice performed self-transcending acts to alleviate such injustices, while using a broad interpretation of what was a social injustice. Oakley (1992) and Schulman (2002) contended that a person lacking compassion perceived the same goal for social justice in a much stricter, narrower focus and lacked morally significant knowledge regarding other people's interests. Oakley (1992) continued by emphasizing that experiencing the emotional intensity appropriate to the situation was morally important to leadership.

Other important emotional concepts included psychological states, psychological capital, and psychological well-being. Luthans, Luthans, and Luthans (2004) explained that the end product of combining positive organizational context (culture) and trigger events (challenges) was authentic growth. These positive psychological states were part of the process and were open to development and change (individual, teams, organization, society levels).

Gardner et al. (2005a) claimed that positive psychological capital was engendered when "genuine leaders who lead by example … foster healthy ethical climates characterized by transparency, trust, integrity, and high moral standards. We call such individuals authentic leaders who are not only true to themselves, but lead others by

helping them to likewise achieve authenticity" (p. 346). Luthans and Avolio (2003) said authentic leadership would foster positive psychological capacities of confidence, optimism, hope, and resiliency in individual leaders.

Fredrickson, Tugade, Waugh, and Larkin (2003) identified emotional contagion as the process during which leader emotions spread like a contagion to their followers. They suggested that leaders' positive emotions were highly contagious "because each person's positive emotions can reverberate through other organizational members" (p. 172) and considered emotional contagion an important part of the process toward transformation, whether on the individual level or the organizational level. The two foundational theories for emotional contagion were the Frederickson et al. (2003) broaden-and-build model theory and the Kernis (2003) authenticity theory. Frederickson et al. (2003) argued the broaden-and-build model referred to those positive emotions exhibited by leaders that inspired (were infectious) followers toward learning and transformation. Kernis (2003) added that authenticity, through self-awareness and relational transparency, fostered positive affective (emotional) states.

Meta-Cognition

Chan et al. (2005) asserted that authentic leaders had the ability and motivation to use meta-cognition to process self-relevant information. Meta-cognition referred to the process of thinking about thinking. Higher levels of meta-cognition influenced stronger persistence of attitudes and beliefs that predicted behavior. A strong commitment to authenticity was a key motivator for authentic leaders to utilize meta-cognition. "Heightened meta-cognitive self-clarity provides the requisite ability for self-awareness,

whereas a high level of commitment to self provides the motivation to self-regulate behaviors in accordance with the true self" (p. 21).

Motivation

Gardner et al. (2005a) indicated that authentic leaders were intrinsically motivated solely by their intellectual curiosity, desire for an enhanced knowledge base, and the intrinsic satisfaction of relevant goal attainment. Deci (1975) observed that as a result of intrinsic motivation, leaders were often totally engaged (immersed) in their life's work, both professionally and personally. These leaders experienced a sense of flow, which further motivated their engagement. Csikszentmihalyi (2003) defined flow as "a subjective experience of full involvement with life" (p. 18). Gardner et al. (2005a) added that as authentic leaders continued to develop, their self-concordant identities (self and values aligned) were congruent with their true selves, values, and goals as they developed a deep commitment toward acting upon these internalized processes.

Deci and Ryan (1995) identified four levels of regulatory motivation including external, introjected, identified, and integrated. External regulation behaviors were uninternalized behaviors motivated by fear of punishments or motivated to seek rewards. External regulations were not yet internalized and were prompted by external pressures. Introjected regulations were driven by internal prods cognitively accepted through the socialization process. Identified regulations were driven by an acceptance of the underlying value of an activity while beginning to internalize the behavior and the value. Finally, integrated regulations represented the total integration of the behavior and the value into the concept of self, and was the highest and most autonomous form of

motivation. As shown by this analysis, these forms of motivation increasingly progress toward higher levels of internalization and integration of the selves.

Authentic Leadership Concepts

Avolio and Gardner (2005) reduced the authentic leadership model down to its five primary components: self-awareness, self-regulation, authentic actions, positive modeling, and veritable and sustainable outcomes, which can be represented as follows in Figure 2.01. The psychological framework strongly influenced the self-awareness and self-regulation components. Other relevant concepts for this leadership model included values, flow, courage, and action.

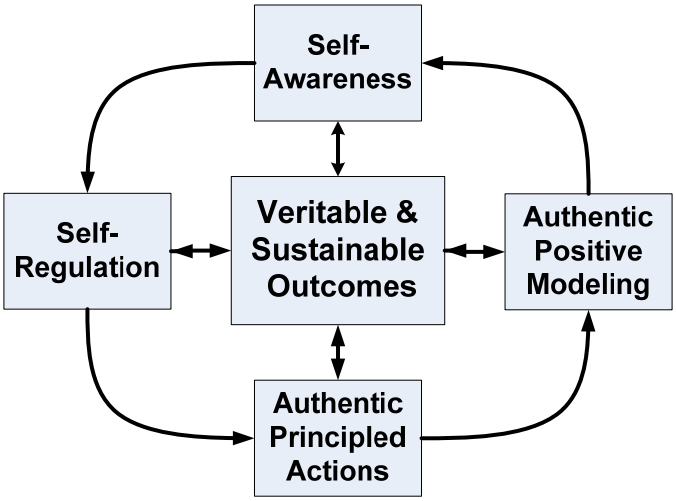

Figure 2.01 Meacham's representation of Avolio and Gardner's (2005) Five Primary Components of Authentic Leadership

Self-Awareness

Gardner et al. (2005a) posited that the central tenet of authentic leadership was a heightened level of self-awareness. Leader self-awareness determined the level of authenticity. Self-awareness was a continuing process whereby the self developed a

greater understanding of its unique talents, strengths, purpose in life, core values, beliefs, and desires. Scholars (Day, 2000; George, 2003; London, 2002) agreed that self-awareness was simply one's knowledge, experience, and capacities. Gardner, Avolio, and Walumbwa (2005) posited four elements of self-awareness: values, cognitions regarding identity, emotions, and motives/goals, which can be represented by Figure 2.02. Sparrow (2005) maintained, "self-awareness is thus an inward journey" (p. 432). "This observation leads me to suggest that the 'inward' path of self-awareness that leads towards authenticity is a narrative journey in autobiographical memory" (p. 432).

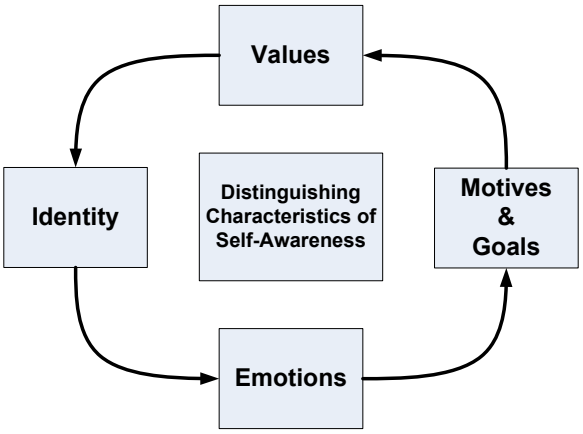

Figure 2.02 Meacham's representation of Gardner, Avolio, and Walumbwa's (2005) Four Self-Awareness Components

Duval and Wicklund (1972) and Hannah, Lester, and Vogelgesang (2005) indicated that when leaders focused their conscious attention on some aspect of the self, their self-reflection created self-awareness. Developing self-awareness did not mean leaders were accurate or inaccurate with their self-perceptions. Gardner et al. (2005b) added that when individuals focused on who they were and what they valued, a sense of self developed. The greater the understanding of self, the stronger and more stable a

psychological foundation was laid for future decision-making and actions. Continuously asking *who am I?* and then gleaning insights from these answers developed authenticity.

Underlying concepts for self-awareness included self-concept, self-concept clarity, self-certainty, self-determination, and self-determination's extension, self-concordance. Gardner and Avolio (1998) observed that self-concepts on the interpersonal level defined those self-accepted roles based on interactions with others. These roles included husband-wife, partner-partner, parent-child, or leader-follower. Leaders self-identified as leaders (leader identification) and incorporated this role into their identities. Followers, likewise, self-identified as followers (follower identification) based on their self-reflections of their acceptance and role as a follower. Gardner et al. (2005b) stressed that authentic leaders accepted, as part of their self-concept, the role of leader and role model. They actively embraced this identity and internalized the meaning behind *leader*.

Markus and Wurf (1987) explained that self-concept included the theory of self-views. Self-views were perceptions of one's attributes, such as intelligence, social skills, academic ability, or athletic ability. Lord, Brown, and Freiberg (1999) identified two types of self-views: current goals and possible selves. Lord and Brown (2001), Lord and Brown (2004), and Lord et al. (1999) posited that short-term, narrowly focused standards of the self were called current goals, while long-term, broadly focused standards of the self were called possible selves.

Campbell, Trapnell, Heine, Katz, Lavalee, and Lehman (1996) noted that self-concept referred to perceived personal attributes; therefore, self-concept clarity identified

how clearly and confidently individuals recognized their personal attributes, how internally consistent this awareness was, and how temporally stable it had become. Gardner et al. (2005b) noted that Campbell et al. (1996) found "high self-concept clarity is positively associated with self-esteem, extraversion and positive affect, and negatively related to anxiety, depression, and negative affect" (p. 350).

Gardner et al. (2005b) noted that Baumgardner (1990) analyzed the construct of "self-certainty, which is the extent to which one is confident about one's self-views across various domains" (pp. 350-351). Therefore, the greater the certainty about the self, the higher the self-esteem and positive affect.

Deci and Ryan (1995, 2000) noted that self-determination theory contended the self determined its level of authenticity through this internal process, rather than using external standards or consequences as a determinant for authenticity. Ryan and Deci (2003) specified that self-determination theory assumed self-development was motivated by fundamental needs of autonomy, competence, and relatedness. Deci and Ryan (1995), therefore, asserted that the authentic self evolved when leaders acted autonomously, had a sense of competence, and felt loved for who they were rather than how they matched up to an external standard.

The concept of self-concordance was an extension of self-determination, which was the final element of self-awareness discussed. Gardner et al. (2005b) suggested that personal strivings (goals) were self-concordant when these goals aligned with the individuals true or actual values, needs, and interests, which resulted in higher levels of personal development and well-being. Sheldon and Elliot (1999) and Sheldon and

Houser-Marko (2001) called this process the self-concordance identity model, which was an extension of self-determination theory. These self-concordant identities satisfied the need for autonomy, competence, and relatedness. When they were internalized and became a part of the self-regulation process, authenticity was enhanced. The importance of *owning one's actions* was predictive of subjective well-being (eudaimonia) and a dimension of the self-regulatory process used by authentic leaders.

Finally, George (2000), Salovey and Mayer (1990), and Salovey, Mayer, and Caruso (2002) concluded that self-awareness encompassed knowing about emotions while understanding their causes and effects on cognitive processes and decision-making. Avolio (2003), Caruso, Mayer, and Salovey (2001), George (2003), and Goleman, Boyatzis, and McKee (2002) documented that emotional self-awareness was a basic component of emotional intelligence (EQ), which was viewed as a determinant of effective leadership. Ashkanasy and Daus (2002), Ashkanasy and Tse (2000), and George (2000) affirmed that authentic leaders were aware of their emotions and how they affected themselves and others. Rather than allow themselves to be ruled by emotional impulses, authentic leaders used their understanding and acceptance of emotions as a positive form of communication to enhance their decision-making. Therefore, Gardner et al. (2005a) asserted that authentic leaders tended to have higher levels of emotional intelligence.

Self-Regulation

Sparrowe (2005) confirmed that self-regulation was a central tenet of authentic leadership. Luthans and Avolio (2003) viewed self-regulation as the process of

exhibiting behaviors that were consonant with the true self. Sparrowe (2005) said, "self-regulation seeks to insure that one's words are spoken from the inner voice and one's deeds reflect inner purpose and values" (p. 424). Stajkovic and Luthans (1998) noted that self-regulation was the process of exerting self-control by formulating internal standards, identifying the variances between these actual internal standards and actual or expected outcomes, and taking action to close any gaps. Avolio and Gardner (2005) confirmed that authentic leaders used self-regulation to align their internal value system with their intentions and actions. When the values were aligned with the intentions and actions, the authentic *self* was transparent to the leader and followers. They posited that self-regulation relied on self-determination theory (Deci & Ryan, 1995; Deci & Ryan, 2000) and authenticity theory (Kernis, 2003) to provide the four components needed for the self-regulation dimension of authentic leadership.

Gardner et al. (2005b) indicated that self-regulation had four distinguishing characteristics: internalized regulation, balanced processing of information, authentic behavior, and relational transparency, which can be represented as follows in Figure 2.03 on the following page. The self, without external interference or influence, intrinsically drove the internalized regulatory system. Balanced processing, also referred to as unbiased processing, related to the self process of analyzing information regarding the self in an unbiased process to identify and assess the positive and the negative parts of the self, which led toward authenticity when it did not ignore, distort, or exaggerate external evaluations of the self or internal experiences that affected the self. Openness and honesty regarding such private knowledge of the self was essential to authentic self-

development. Authentic behaviors referred to the actions reflected by congruence between core values, beliefs, thoughts, and feelings, without regard to external pressures and influences. Relational transparency described the leader's relationship between self and others. Appropriate levels of self-disclosure occurred when leaders displayed high levels of openness, which enhanced feelings of trust that led to more authentic relationships.

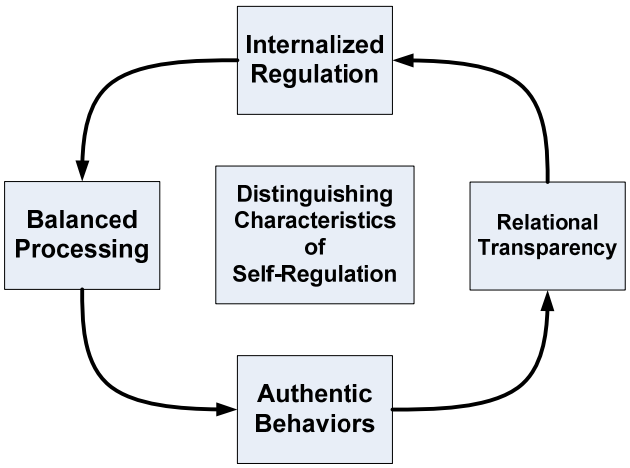

Figure 2.03 Meacham's representation of Gardner, Avolio, Luthans, May, and Walumbwa's (2005) Four Self-Regulation Components

Sparrowe (2005) maintained that heightened self-awareness working in concert with self-regulation resulted in consistency between words and deeds. Consistency between values and behaviors engendered leader credibility for followers that resulted in a more genuine working relationship. Luthans and Avolio (2003) perceived consistency as promoting authenticity within the leader and modeling authentic behaviors for followers, which allowed for transformation of the working self-concept for leaders and followers.

Values

Rokeach (1979) defined values as the enduring belief that certain conducts and/or end states were more desirable than others. Sosik (2005) defined self-transcendent values as those focused away from the self and toward others with the understanding of the interconnectedness between humankind, nature, and a spiritual system. The focus was on "spirituality, fairness, and benevolence toward others" (p. 228) and included the values of "altruism, self-sacrifice, unity with nature, and social justice" (p. 228). The opposite value system was self-enhancement (egoistic) values with a focus on self and self-benefit. These values included "wealth, material possessions, money, personal pleasure, and a quest to influence other people" (p. 229). Peterson and Seligman (2004) noted that leaders with self-enhancement values often had a strong need for power and roles of authority.

Michie and Gooty (2005) asserted that positive other-directed emotions motivated leaders to act upon their self-transcendent values. When leaders felt appreciation (respect, esteem, and admiration for others), goodwill (compassion and sympathy), and genuine feelings of interest (concern for others' well-being), they were much more likely to act upon their self-transcendent values as they connected with the universal consequences of their actions and inactions.

Frijda et al. (2000) explained that emotions were prime motivators for spurring people toward action. Oakley (1992) and Schulman (2002) asserted that knowing the right thing do would not be acted upon unless there was an emotional response of interest, concern, gratitude, compassion, or courage. Oakley (1992) believed that

emotional responses played an important role in acting upon value systems. Even other-directed values would not spur a person to action without an accompanying emotional response. The combination of emotional response and self-transcendent values created the moral integrity to act.

Csikszentmihalyi (1990, 1997) defined flow as a positive psychological experience involving positive affect, arousal, happiness, cheerfulness, alertness, excitement, and concentration when challenged to excel beyond one's abilities. Bateman and Porath (2003) asserted that those leaders who were authentic, ethical, and followed self-transcendent values would feel a sense of flow, which was an intrinsic feeling of exhilaration that helped carry them through difficult times.

Webster's New Universal Unabridged Dictionary (1996) defined courage as "the quality of mind or spirit that enables a person to face difficulty, danger, pain, etc., without fear" (p. 464). Park and Peterson (2003) noted that courage included bravery, diligence, integrity, authenticity, and enthusiasm. Frederickson et al. (2003) observed that after a catastrophic event, leaders often had feelings of gratitude, interest, love, and other positive other-directed emotions, but they could also have feelings of anger, fear, disgust, and contempt. Worline and Quinn (2003) asserted that to experience courage and act courageously, leaders often experienced fear (or other negative emotions) of negative consequences for themselves or others. Therefore, authentic leaders offset their negative emotional experiences with positive emotional experiences rather than merely replacing negative emotions with positive emotions. Michie and Gooty (2005) indicated that

leaders often experienced positive other-directed emotions toward those they did not personally know and still felt appreciation or compassion for them.

Summary

Authentic leadership came from the theoretical perspective of positive psychology, which focused on positive emotions, affects, and capabilities rather than pathology and victimology. The psychological concepts relevant to authentic leadership included identity, self, emotions, meta-cognition, and motivation, all of which influenced authenticity and authentic leadership. Finally, the two psychological components of authentic leadership, self-awareness and self-regulation, were analyzed, as well as the interrelated concepts of values, flow, courage, and actions.

Leadership Theories

The historical context of leadership theories and their theorists were described. Traditional leadership theories and positive leadership theories were analyzed and discussed. An emphasis was placed on transformational leadership since theorists believe it to be the closest leadership theory to the authentic leadership model. Finally, authentic leadership was briefly discussed to place it within the historical leadership context.

Fleishman, Mumford, Zaccaro, Levin, Korotkin, and Hein (1991) compiled various definitions for leadership over the past 50 years and found 65 different classification systems utilized. Leadership was defined from the leader's perspective, the process of leadership perspective, the follower's perspective, and the leadership context perspective. These perspectives emphasized the leader as the focus of the group process, the leader's personality, the leader's behaviors, the power relationships between leaders

and followers, leadership as an instrument of goal achievement, or the skills necessary to make the leadership process more effective.

Northouse (2004) asserted that each definition of leadership encapsulated four central components of leadership. He posited that leadership was a process, involved influence, occurred within a group context, and involved goal attainment. He defined leadership as "a process whereby an individual influenced a group of individuals to achieve a common goal" (p. 3). Hughes, Ginnett, and Curphy (2006) defined leadership as "the process of influencing an organized group toward accomplishing its goals" (p. 8). "We also differentiate leadership from management, with leadership being more concerned with doing the right thing and management more concerned with doing things right" (p. 391). Robbins (2005) came from the leader's perspective by defining leadership "as the ability to influence a group toward the achievement of goals" (p. 332).

Burns (1978) was the first leadership expert to insist on an ethical perspective for any definition of leadership. He believed that without an ethical perspective, leadership was simply about influencing others, which could be in a positive direction or a negative direction. Burns asserted that true leadership always focused on positive directions based on end (transcendent) values toward the public good. He defined leadership as "...the reciprocal process of mobilizing, by persons with certain motives and values, various economic, political, and other resources, in a context of competition and conflict, in order to realize goals independently or mutually held by both leaders and followers" (p. 425). Covey (1991) also included an ethical perspective to leadership when he developed his principle-centered leadership model. Covey's emphasis on the values and ethics of

trustworthiness (leaders), empowerment (followers), and alignment (organization) of positive principles and values between leaders, followers, and organizations reinforced Burn's premise that leadership without an ethical perspective was not true leadership. Hannah et al. (2005) defined authentic leadership as "a process that: (1) emanates from a leader; (2) is driven by the abilities and motives inherent in a highly developed moral self-concept; and (3) is fueled by leader virtue and an altruistic desire to exercise agentic control over the leadership domain" (p. 51). As a review of these various definitions has shown, leadership is a complex topic based on multiple theories of leadership. Various traditional theories and positive theories of leadership have had their prominence over time.

Overview

Birnbaum (1988) and Nidiffer (2001) documented that traditional theories of leadership included trait theory, theories of power and influence, transactional leadership, transformational leadership, behavioral theories of leadership, contingency theories, as well as cultural and symbolic theories. Trait theory analyzed the characteristics leaders needed to possess in order to be considered effective leaders. Most of the traits identified within trait theories were male-oriented traits. Trait theories had become outdated in deference to other theories that related to external sources of influence rather than internal sources of influence.

Birnbaum (1988), Nidiffer (2001), and Shaw (1999) indicated that theories of power and influence examined how leaders influenced their followers in a reciprocal relationship. Different types of power were identified as legitimate power, reward power,

coercive power, expert power, and referent power. Legitimate power was gained through the title one held. Reward power was gained through the ability to offer incentives for performance. Coercive power was gained through the ability to offer disincentives for performance. Expert power was gained through the perception held by followers of the leader's level of competence and expertise. Finally, referent power was gained when followers identified with and cared for the leader. Interestingly enough, coercive power was the least effective; legitimate power was neutral in effect; reward power was inconclusive; and referent power and expert power were found to be the most effective sources of power.

Davis (2003), Kouzes and Posner (2002), and Nidiffer (2001) indicated that transactional leadership came from social influence theories, which asserted that the importance of the exchanges resulted from the interactions between the leader and the followers. Leaders had power, but this power was useless if the followers refused to follow. As a result, transactional leaders sought to meet their followers' expectations by creating a relationship where everyone was mutually benefited. The individual roles each person assumed influenced the relationship, including the role of the leader.

Davis (2003), Kouzes and Posner (2002), and Nidiffer (2001) argued that transformational leaders were often very charismatic and focused on values such as liberty, justice, and equality. As a result, transformational leadership was considered to be more ethically based than other leadership styles. Often, this form of leadership was used to change the culture of the organization. Nidiffer (2001) documented that transformational leaders were thought to be less effective in higher education because of

shared authority. Also, when charismatic leaders left and were replaced with less charismatic leadership, the new leaders' effectiveness was often questioned, rightly or wrongly, due to reduced expectations (less motivating) on the follower's part.

Birnbaum (1988) and Nidiffer (2001) posited that behavioral theories of leadership tended to focus on what leaders actually did rather than traits or sources of power. Such styles as authoritarian, authoritative, or democratic were associated with these theories. Studies found the more democratic the leaders, the more productive the followers. The more authoritarian and rigid the leaders were, the less productive the followers.

Birnbaum (1988) and Nidiffer (2001) stated that contingency theories emphasized that leadership styles were situational (change depending upon the situation). The leadership styles must be adaptive to changes within the situation or organization; therefore, they focused on external influences (within the institution or environment) rather than internal influences (within the leader). The effectiveness of the leadership could only be determined by understanding the institution in context. Nidiffer (2001) conjectured that higher education institutions that were constrained by too many rules could neutralize the effectiveness of contingency leadership. Micromanaging trustees, unions, and tenure would be neutralizing influences.

Nidiffer (2001) argued that cultural and symbolic theories of leadership emphasized culture and its importance to the organization. These theories asserted that organizational structures and meanings were constructed. Therefore, leadership within such a culture emphasized the *management of meaning*. Leaders' efforts were concerned

with *influencing* the culture rather than *managing* the culture. Within this context, transformational leaders might be the most effective by or when influencing the culture. These leaders interpreted meaning for their followers in an effort to influence the way they saw, felt, and understood. Higher education leaders could also use symbolic constructs such as awards events to sustain or strengthen the institutional culture.

Birnbaum (1988) and Nidiffer (2001) specified that cognitive theories of leadership emphasized leaders being cognitive (aware) of the type of organization they were leading. Analyzing correctly whether they were leaders of collegial, bureaucratic, political, or anarchical institutions was the key to success. Leaders must understand the culture they worked within while adapting their leadership style to work within this context.

Nidiffer (2001) suggested that much of the earlier literature had focused on traditional leadership styles. Since the 1990s, research had focused on *emergent leadership* styles (positive leaderships). This type of leadership sought to identify characteristics needed to effect progressive leadership. Emergent leadership was a rational form of leadership that emphasized sharing power, information, and decision-making with other group members. Emergent leaders were participatory, flexible, ethical, authentic, connective, and team-oriented. The skills of empowerment, communication, collaboration, and even healing were emphasized. The characteristics commonly associated with this type of leadership had long been associated with women, which marginalized its appeal to some leaders.

Davis (2003) maintained servant-leadership was a fairly new leadership concept that focused on leaders' understanding of being servants to their followers while promoting the essence of leadership as service. Inspirational leadership with a service focus was a dimension of servant-leadership. Nidiffer (2001) suggested that ineffective leaders believed their followers were there to do their bidding. Leaders who understood that their role was to provide their followers with the vision, resources, and leadership necessary for the followers to be successful on their institution's behalf were the leaders who were viewed as effective.

Traditional Leadership Theories

Northouse (2004) discussed the seven traditional leadership theories: trait approach, skills approach, style approach, situational approach, contingency theory, and path-goal theory. Each theory evolved from the previous theory.

Trait Theory

The trait approach was the first systematic attempt by leadership scholars to classify leadership and was based on the *great man* theories that explained what was required to be a *great man*. Trait theory was a leader-centered perspective where personality traits that influenced leadership and differentiated leaders from followers were viewed as innate and relatively fixed. By the mid-1900s, Stogdill (1948) was asserting that no consistent set of traits differentiated leaders from followers when studied across a variety of situations. Bryman (1992) had ignited a resurgence in studying trait theory when he maintained leader traits really made a difference. Kirkpatrick and Locke

(1991) had asserted that effective leaders were unique (differing traits) from followers in several key respects.

Stogdill (1948, 1974) found some of these key differences were intelligence, alertness, insight, responsibility, initiative, persistence, self-confidence, and sociability. He determined that personality traits and situational factors influenced leadership ability. Kirkpatrick and Locke (1991) concurred with Stogdill's findings when they contended, "it is unequivocally clear that leaders are not like other people" (p. 59). They found seven traits that differentiated leaders from followers: the desire to lead, cognitive ability, drive, integrity, self-confidence, honesty, and knowledge of the business. They maintained these traits could be innate, learned, or both.

Skills Approach

Northouse (2004) noted another approach, the skills approach, which was, like the trait approach, leader-centered. The emphasis moved away from innate and fixed personality traits (who you are) to skills and abilities (what you can accomplish) that could be learned and developed. Katz (1955) motivated the shift away from trait theory and toward the skills approach. He believed leadership could be learned and developed if the proper leadership skills were developed. Mumford, Zaccaro, Harding, Owen Jacobs, and Fleischman (2000) brought about a resurgence of the skills approach by emphasizing that a leader's effectiveness was primarily dependent upon the abilities to solve complex organizational problems.

Katz (1955) identified three primary skill sets required for effective leadership: technical skills, human skills, and conceptual skills. Technical skills were the

knowledge-based abilities acquired and developed to ensured proficiency. Human skills included a focus on people and the attendant skills needed to work with them effectively. Finally, conceptual skills were the abilities utilized to analyze concepts and ideas effectively. Mumford et al. (2000) formulated a skills-based model focused on individual attributes, competencies, and leadership outcomes. Individual attributes included cognitive ability, motivation, and personality. Competencies included problem-solving skills, social judgment skills, and knowledge-base. Finally, leadership outcomes included effective problem solving and performance.

Style Approach

Northouse (2004) described how the style approach, which emphasized the leader's behavior, moved away from trait theory (who the leader was) and skills theory (what the leader knows). Emphasis for the style approach was on task-orientation and people-orientation. Hemphill and Coons (1957) conducted several studies, as did Cartwright and Zander (1960) and Likert (1961, 1967), that brought attention to the style approach. However, it was the work of Blake and Mouton (1964, 1978, 1985) that brought this theory to prominence. They developed the Managerial Grid (currently known as the Leadership Grid) to explain how leaders used concern for production (task-orientation) and concern for people (people-orientation) to help organizations achieve their goals.

Blake and McCanse (1991) portrayed five major leadership styles: authority-compliance, country club management, impoverished management, middle-of-the-road management, and team management. Authority-compliance represented high task-

orientation and low people-orientation. Country club management represented a low task-orientation and high people-orientation. Impoverished management represented low task-orientation and low people-orientation. Middle-of-the-road management represented an intermediate task-orientation and an intermediate people-orientation resulting in leaders being viewed as compromisers. Team management represented a high task-orientation and a high people-orientation. Later, two other leadership styles were added to the grid: paternalism/maternalism and opportunism. Paternalism represented a high task-orientation and high people-orientation, just like team management, but the leader acted as a benevolent dictator. Opportunism represented any combination of the five styles mentioned when the leader was using this style combination for personal benefit and advancement.

Situational Approach

Northouse (2004) described how Hersey and Blanchard (1969) used Reddin's (1967) 3-D management style theory to develop their own theory known as the situational approach. Situational leadership focused on leadership within given situations, recognizing that each situation demands different kinds of leadership. This theory of leadership required the leader to be able to adapt to the demand of each different situation.

Northouse (2004) reflected on how the emphasis was placed on the two components of situational leadership: directive (task-oriented) and supportive (people-oriented). Leaders determined, by adapting their own style based on the situation (context and followers), when to be directive (low follower competence) and when to be

supportive (high follower competence). Four leadership styles were identified: delegating, supporting, coaching, and directing. Delegating represented low supportive and low directive behaviors. Supporting represented high supportive and low directive behaviors. Coaching represented high directive and high supportive behaviors. Finally, directing represented high directive and low supportive behaviors. The 3-D effect for the model was represented by the addition of a sliding scale representing the developmental level (high, moderate, or low) of the followers, which was integrated into the analysis of utilizing supportive and directive behaviors.

Contingency Theory

Northouse (2004) noted the most widely recognized contingency theory of leadership belonged to Fiedler (1964, 1967) with enhancements by Fiedler and Chemers (1974) and Fiedler and Garcia (1987). Contingency theory incorporated style theory with situational theory. Contingency theory suggested that certain leadership styles were more effective than other styles contingent upon the situation in need of leadership; it attempted to match leaders to appropriate situations. Leadership styles of task-oriented and people-oriented were cross-referenced with three situational variables: leader-member relations, task structure, and position power.

Northouse (2004) suggested leader-member relations referred to how followers felt about the leader and the cultural context. Task structure referred to tasks under the leader's control (highly structured tasks) and tasks under the follower's control (highly unstructured tasks). Structured tasks gave the leader the autonomy and control to determine exactly how a task would be completed, while unstructured tasks gave the

follower the autonomy and control to decide how to complete the task. Position power referred to the amount of authority the leader had to punish or reward followers. Strong position power was held when the leader had the authority to hire and fire. Low position power was held when the leader lacked this authority.

Northouse (2004) documented that contingency theory posited that some styles were more effective than others in a given situation. Ultimately, the researchers believed leaders who were task-oriented would be effective in very favorable situations and very unfavorable situations. Leaders who were people-oriented would be effective in moderately favorable situations where the situation was somewhat certain and the leader had a moderate level of control.

Path-Goal Theory

Northouse (2004) explained that path-goal theory moved the focal point back to the leader. Path-goal theory emphasized the ways leaders influenced and motivated followers toward goal attainment. Leaders who focused on follower motivation hoped to attain enhanced follower performance and follower satisfaction. The refocus on the leader's relationship with followers incorporated using the appropriate leadership style with a knowledge of motivational theories while coalescing these components into the workplace setting.

Evans (1970), House (1971), House and Dessler (1974), and House and Mitchell (1974) drew the attention of leadership scholars to path-goal theory. House and Mitchell (1974) noted that leaders generated motivation when followers understood the payoff to work performance. Leaders were responsible for identifying and removing obstacles,

coaching and giving direction, and improving follower satisfaction as the path toward the goal became clearer. The components of path-goal theory included leader behaviors, follower characteristics, task characteristics, and motivation. Some leader behaviors were more motivating than others, which was contingent upon follower characteristics and task characteristics.

House and Mitchell (1974) posited that leader behaviors were directive, supportive, participative, or achievement-oriented. Directive leadership was telling the followers what to do and how to do it. Supportive leadership entailed creating a positive work environment and positive follower relationships, while remaining friendly, approachable, and focused on follower needs and well-being. Participative leadership occurred when leaders invited followers to participate in decision-making. Finally, achievement-oriented leadership was enabled when leaders challenged the followers around them to strive for excellence. Followers had needs for affiliation, various desires for control, various preferences for structure, and self-perceived abilities regarding task competence that would influence their level of motivation separate from any efforts made by the leader. If tasks were appropriately structured contingent upon follower abilities, followers would gain a sense of accomplishment and value for their work. The unique focus of path-goal theory was for leaders to assist followers with overcoming any and all obstacles to their success.

House (1996) specified eight classes of leadership behaviors that would enhance motivation of followers: directive, supportive, participative, achievement-oriented behavior, work facilitation, group-oriented decision process, work-group representation

and networking, and value-based leader behavior. The first four classes of leadership behaviors were a part of his earlier model (1971, 1974). The last four classes were enhancements added in the mid-1990s.

To summarize the traditional leadership theories, Northouse (2004) noted that the traditional theories of leadership included trait theory, the skills approach, the style approach, the situational approach, and then shifted toward contingency theory and path-goal theory. In 1978, James McGregor Burns, through his transformational leadership theory, evolved leadership thought away from traditional theories and into the realm of positive leadership theories. Bryman (1992) called transformational leadership the *New Leadership* paradigm because it evolved the focus toward charismatic and affective elements of leadership. Avolio and Gardner (2005) listed the positive leaderships as transformational, charismatic, servant, and spiritual. Avolio, Gardner, Walumbwa, Luthans, and May (2004), as well as Gardner et al. (2005b), asserted that the positive leaderships were more specific forms of leadership.

Positive Leadership Theories

Reichard and Avolio (2005) conducted a meta-analysis of leadership research within the last 100 years. Current research (1950s to 1990s) had primarily focused on traditional theories, such as leader behavior and contingency theory. A few studies on attribution theory surfaced in the 1980s. By the 1990s, a new genre of leadership theories predominated the literature. Charismatic and transformational leadership theories were more frequent, while leader-member exchange theory was less frequent.

DePree (2002) asserted that there were three broad concepts that must form the foundation for all leadership models: an understanding of the fiduciary nature of leadership, a broadened definition of leadership competence, and the enlightenment afforded leaders by a moral purpose. Positive forms of leadership attempted to integrate these three concepts. Bryman (1992) acknowledged that central components of all of the positive leadership theories (transformational, charismatic, servant, and spiritual) were a moral component and a vision. The theory of transformational leadership was the first positive leadership theory developed.

In his seminal work, *Leadership*, Burns (1978) revealed that his formative years showed him first hand that social change was needed at home and abroad. Callahan (2004) noted that historically the climate during the 1960s stressed social responsibility. By the 1970s, society was redirecting its focus away from social responsibility toward individualism. Burns (1978) discussed how he had seen first hand during World War II (WWII), as well as the civil rights movement from the 1950s and 1960s, how social (in)justice issues affected the society as a whole. Therefore, he published his seminal work on leadership and social justice.

Burns (1978) noted that for 25 years (1953-1978) he had studied contemporary presidential leaders and world leaders to develop and define a model of leadership that could be replicated by future leaders. He defined leadership as "...the reciprocal process of mobilizing, by persons with certain motives and values, various economic, political, and other resources, in a context of competition and conflict, in order to realize goals independently or mutually held by both leaders and followers" (p. 425). Burns developed

a model for transformational leadership, then published his leadership model in his 1978 book, and later expounded on his theory further with his 2003 book, *Transforming Leadership*.

Transformational Leadership

Northouse (2004) documented that leadership theories previous to Burns' transformational leadership theory included trait approach, skills approach, style approach, situational approach, contingency theory, path-goal theory, and leader-member exchange theory. Transformational leadership emphasized the processes that changed and transformed leaders and followers. Important to this change process were emotions, values, ethical standards, and long-term goals. Burns established a new paradigm of leadership that emphasized understanding the followers' motives and needs while treating them as full human beings so they could reach their full potential. The process of transformation for leaders and followers emphasized mutual engagement and creating connections that raised the motivation and morality of all.

Northouse (2004) noted that Burns' model of transformational leadership evolved the concept of modern day leadership. Burns (1978) said, "searching always for the moral foundations of leadership, we will consider as truly legitimate only those acts of leaders that serve ultimately in some way to help release human potentials now locked in ungratified needs and crushed expectations" (p. 5) "The function of leadership is to engage followers, not merely to activate them, to commingle needs and aspirations and goals in a common enterprise, and in the process to make better citizens of both leaders and followers" (p. 461). Burns' ultimate premise of transformational leadership "...called

for leaders who, by boldly interpreting the nation's conscience, could lift a people out of their everyday selves. That people can be lifted *into* their better selves is the secret of transforming leadership and the moral and practical theme of this work" (p. 462).

Burns (1978) asserted that family, peers, and an internal moral compass influenced leader values, morals, and ethics. Education could influence leader values, morals, and ethics in either a progressive or an oppressive direction. The influence was internal and external; the choice of how to act upon these values, morals, and ethics was always internal.

Burns (1978) explained that transformational leadership included several essential dimensions: ethics, morals, and power. Ethics involved personal values and public values with the primary focus on public values. Burns asserted, "...the ultimate test of moral leadership is its capacity to transcend the claims of the multiplicity of everyday wants and needs and expectations, to respond to the higher levels of moral development, and to relate leadership behavior – its roles, choices, style, commitments, – to a set of reasoned, relatively explicit, conscious values" (p. 46). Morals that commingled with ethics determined *right conduct* that focused primarily on the public good. Moral leadership included mutual needs, aspirations and values, but also mutual consent to lead or be led. It was about evolving these ethics and morals to a higher standard than held by the current society. Power was about the relationship between leaders and followers as they followed the path of *right conduct* that focused on the public good. Leaders could access their individual power bases, but also had access to the power bases of their followers. Power must be relevant to the motivations of the followers. If power were not

relevant, then no transformation would occur. How leaders viewed their followers made a significant difference with these relationships.

Sowell (2002) noted that in addition to life experiences, value systems, ethical philosophies, and moral development, leaders' paradigms (vision) of how the world worked could profoundly influence the message they conveyed. Aristotle and Plato differed in their vision of how the world worked. Today, these different visions have been identified as either constrained or unconstrained visions. A constrained vision (Aristotle) viewed human nature as self-interested, morally limited, imperfect, and unchanging. Contemporaries with this vision believed that any social ills were created by the limited and unhappy choices made by inherently limited human beings. Solutions could only be affected by using current social processes such as moral traditions, the marketplace, or families. An unconstrained vision (Plato) viewed human nature as virtuous, empathetic, compassionate, and adaptive (perfectible). Contemporaries with this vision believed that any social ills were created by foolish or immoral choices made by imperfect human beings. Solutions could only be affected by establishing wiser or more moral and humane social policies. A leader's vision of the world influenced the form of leadership ascribed to as a means of leading followers toward effective social change.

Callahan (2004) asserted that the moral development of leaders determined their ethics and the power sources they chose to utilize in an appropriate manner. Lawrence Kohlberg, a pre-eminent theorist of moral development, described six stages of moral development with the most advanced type of ethical reasoning (stage six) as *principled*

conscience. Kohlberg concluded that most people never attained this level of moral development because their conception of right and wrong was based on winning the approval of others, as well as keeping themselves out of trouble. Burns (1978) speculated that only those leaders who led from a principled-conscience could be transformational leaders: "...there is focus on general ethical standards, on principles that are 'logical, comprehensive, universal, and consistent.' These are the more general or universal values noted above – those of liberty, equality, dignity, justice, and human rights" (p. 73).

Burns (1978) discussed several forms of transformational leadership: intellectual, reform, revolutionary, heroic, and ideological. Intellectual leadership utilized ideas as moral power. Intellectuals were concerned with "...values, purposes, ends that transcend immediate practical needs" (p. 141). "The concept of intellectual *leadership* brings in the role of *conscious purpose* drawn from values" (p. 142). "Intellectual leadership is *transforming* leadership" (p. 142). Internal conflict, often between the old ways and new ways, pushed these leaders to action. Burns (1978) asserted that leadership of reform movements was the most difficult. Reformers sought to identify the parts of society in need of change and then targeted those parts for reform. There was a higher expectation of moral leadership that limited the means available to attain the ends. Reformers took *what is*, and tried to improve on it. They sought to modify existing trends and prevailing principles; they sought to reform the parts, rather than the whole.

Burns (1978) said, "revolutionary leadership demands commitment, persistence, courage, perhaps selflessness and even self-abnegation" (p. 169). Rather than attempt to change parts of society, revolutionaries attempted to change the whole of society. They

sought to redirect and reverse the current movement of the dominant society while transforming the bedrock of their principles. Usually, this was affected by an overthrow of the current government and the installation of a completely new form of government. Revolutionary leaders showed absolute dedication to their cause by demonstrating significant effort that included acceptance of substantial risk (even life-threatening risk). The most significant step in a revolution was the conceptualizing of the vision that incited people to action.

Burns (1978) noted that heroic leadership was established when followers had a strong belief in the leader based on the leader's personage, not on the leader's capabilities, experience, or stance on issues. The relationship created by this belief between leader and follower was based on faith and readiness to grant power to the leader to handle crises. This relationship was completely devoid of conflict between leader and followers, which was a crucial aspect of heroic leadership. If any conflicts emerged, they would emerge after the change process of the society had started. Trust and legitimacy in the old way was apparent, which allowed the heroic leader, usually equipped with a rare gift of compassion and competence, to be dynamic, resourceful and responsive, which countered the old way.

Burns (1978) suggested that ideological leaders immersed themselves in the movement, even at the expense of their own needs and wants, or the needs and wants of their followers. The explicit goal, which required substantial social change, focused on of their political movement. They were close to their followers psychologically and politically. Differing agendas caused strife and conflict within the group, but ultimately

everyone stayed the course because of their mutual focus on actual social change. The significant characteristic of ideological leadership was the dualism of beliefs and the paradigm that supported those beliefs. "What leaders and followers see in their environment and in one another; the conflict with opposing ideologies that draws them together; their social and historical consciousness; the values that hold moral significance for them; the social and political purposes that emerge from such ideology – all these mutually fortify one another" (p. 250).

Burns (1978) contended that social change was always fraught with resistance, primarily from the dominant culture. Transformational leaders utilized various strategies to overcome this resistance: coercive, normative, utilitarian, empirical-rational, power-coercive, and reeducative. Transformational leaders, by definition, did not use coercive strategies. Normative strategies sought to gain compliance by playing on internalized values. Utilitarian strategies controlled rewards and resources, as well as punishments. Empirical-rational strategies sought rational justifications for change. Power-coercive strategies sought to apply moral, economic, and political resources to achieve change. Reeducative strategies sought to exert influence through feeling and thought. These strategies more often targeted the implementers of change, rather than the followers of change.

Without leaders, there would be no transformation. Burns (1978) added that leaders ultimately must decide what type of transformational leader they would become and what strategies they would employ. Each used the strategies that best allowed the

transformation of the society they would lead. Their family members, peers, education, and internal moral compasses influenced these leaders.

Burns' (1978) transformational leadership model had been studied for the past 25 years and still has significant merit for contemporary leaders. Social justice as a goal could never be understated. The universal values of liberty, equality, dignity, justice, and human rights would always provide the framework for true leadership.

Charismatic Leadership

Gardner and Avolio (1998) asserted that charismatic leaders used a self-presentation strategy of exemplification, which modeled exemplary behavior (words and deeds). Tedeschi and Norman (1985) defined exemplification as "behavior [that] presents the actor as morally worthy and may also have the goal of eliciting imitation by others" (p. 301). Exemplifiers portrayed themselves as extremely trustworthy and ethical, which usually secured unusually high levels of trust from followers while inspiring them to emulate the exemplary behaviors. Bass (1988) and Gardner and Avolio (1998) noted that charismatic leaders used exemplification to model high moral standards, commitment, and self-sacrifice. Bass (1985) posited that charismatic leadership heightened levels of follower trust, empowerment, collective identity, effort, commitment, internal cohesion, value congruence, satisfaction, performance ratings, and organizational effectiveness.

Varella, Javidan, and Waldman (2005) asserted that charismatic leaders were visionary, persuasive, and discontented with the status quo. They had high self-confidence, a superior assessment of the work environment, and a willingness to use

unconventional actions (within accepted boundaries) to work for the common good. House and Howell (1992) identified two types of charismatic leadership: socialized and personalized. Gardner et al. (2005b, 2005c) noted that socialized charismatic leaders used their inspirational power (charisma) to move groups or individuals toward shared and worthy goals that promoted the good of the group. However, personalized charismatic leaders focused on using charisma to develop self-serving relationships that often were to the detriment of the group. Authentic leaders used socialized charismatic leadership. Judge and Piccolo (2004) analyzed the charismatic literature and determined the consensus was that charismatic leadership tended to produce positive and beneficial outcomes such as higher performance ratings, more motivated followers, and more satisfaction among followers.

Servant Leadership

Jaworski (1998) quoted Greenleaf's assertion that leadership required two essential dimensions: the desire to serve others and the desire to serve something beyond themselves. Spears (2002) noted that Robert Greenleaf first asserted the concept of servant leadership in a 1970 essay, which integrated the counterintuitive concepts of servant and leader. Greenleaf believed that great leaders' authentic and primary motivation was a deep desire to help others; from this authenticity came the leaders' greatness. Leaders who were willing to be the servant of others had an intrinsic feeling of wanting to serve. Such a desire, coupled with conscious choice, inspired individuals toward leadership. These leaders focused on other-interests, not self-interests. Their focus on personal growth, for themselves and others, stressed the transformational aspect

of the model. It was a *way of being* that had the potential for creating positive change in individual lives, workplaces, communities, and throughout society.

Spears (2002) noted that traditional models of leadership based on hierarchies and autocratic authority were yielding to the newer leadership models that focused on teamwork and community. The hallmarks of this new leadership approach included involving others in decision-making, incorporating a strong ethical base of caring into all decision-making, and promoting the personal growth of followers. Advocates of these positive forms of leadership understood that such a focus on leadership and service would ensure a caring focus which, in turn, would influence quality within institutions. Greenleaf (2002) suggested "a new moral principle is emerging, which holds that the only authority deserving one's allegiance is that which is freely and knowingly granted by the led to the leader in response to, and in proportion to, the clearly evident servant stature of the leader" (p. 21). Servant leaders consciously chose to be servants first and leaders second. Greenleaf's assumption was the only way to improve society was to develop individuals personally and professionally who would make a difference.

Greenleaf (1998) believed leaders' spirits evolved; he referred to this process as *entheos*, which developed in response to internal rather than external incentives. Entheos was the sustaining force that held leaders together during crisis; it was the confidence to risk-take; it reflected those values and beliefs that supported attitudes and actions; and it promoted self-awareness and sensitivity. This personal growth was indicated by a concurrent satisfaction and dissatisfaction with the status quo, a growing sense of purpose, transparency leading to authenticity, consciousness of the scarcity of time,

integration of personal and professional goals, a sense of unity with humankind, a positive view of humankind, and an intuitive feeling of oneness, of wholeness, and of rightness. Lopez (1995) traced Greenleaf's path to becoming a servant-leader. Greenleaf engaged in introspection, discussed his beliefs and values with others, developed close relationships with people and institutions, and studied ethics and ethical behaviors. The characteristics sought within servant-leaders included expressions of unlimited liability for others, knowing the self well, possession of liberating visions, effective persuaders, builders of community, and ethical users of power.

In *On Becoming a Servant-Leader* by Greenleaf, Frick, and Spears (1996), Frick and Spears noted that Greenleaf's use of the term leader included parents in their home, persons who wielded influence, or the head of an organization. Greenleaf believed leaders needed to set goals, know which unimportant issues to neglect, to listen, and articulate their message effectively. They must also hold ethical values, stress personal growth (for themselves and others), withdraw periodically from work to renew their spirit, learn to tolerate imperfection (from oneself and others), be their own persons (authentic), and accept others for where they were in their process of personal growth. Spears (2002) noted Greenleaf's ten characteristics central to the development of servant-leaders: listening, empathy, healing, awareness, persuasion, conceptualization, foresight (vision), stewardship, commitment to the personal growth of others, and building community.

Avolio and Gardner (2005) asserted that servant leadership focused explicitly or implicitly on leader self-awareness and self-regulation by referring to empathy,

conceptualization, and foresight. It did not, however, explicitly recognize the mediating role of follower self-awareness, follower self-regulation, positive psychological capital, positive organizational context or veritable and sustainable performance. Much of this theory was not grounded in or supported by empirical research. Several servant theorists (Greenleaf, 1977, 1998, 2002; Greenleaf et al., 1996; Smith, Montagno, and Kuzmenko, 2004; Spears, 1995, 1998, 2002) would disagree.

Spiritual Leadership

Fry (2003) developed the concept of spiritual leadership and believed this theory was an alternative to other positive leaderships, including authentic leadership. Spiritual leadership was intrinsically motivated by vision, hope, faith, and altruistic love with a focus on one's calling (meaning and purpose in life) and how to make a difference in other's lives. Fleischman (1994) and Maddock and Fulton (1998) added a sense of membership to spiritual leadership where leaders and followers felt understood, appreciated, and accepted unconditionally. Fry and Whittington (2005) stated the purpose of spiritual leadership was using a vision to create value congruence for individuals, groups, and organizations to foster higher levels of commitment and productivity. Ultimately, "spiritual leadership is an intrinsic motivation cycle based on vision (performance), altruistic love (reward), and hope/faith (effort) that results in an increase in one's sense of spiritual survival (e.g., calling and membership)" (pp. 187-188).

Whittington, Kageler, and Pitts (2002) and Whittington, Pitts, Kageler, and Goodwin (2005) had developed the concept for legacy leadership, a form of spiritual

leadership. Legacy leadership was rooted in the leader's motives, which were reflected by congruent leadership behaviors. Michie and Gooty (2005) added that legacy leaders were self-transcendent and altruistic. Fry and Whittington (2005) identified four basic motives: achieving personal integrity and moral excellence, developing sincerity and authenticity, developing as a follower, and developing and expressing caring and altruistic love (unconditional love) for others. Five appropriate leadership behaviors expressing these motives included being worthy of imitation, standing up for what was right in the face of opposition, using influence rather than authority, staying active rather than passive, and demonstrating transparency through vulnerability.

Avolio and Gardner (2005) confirmed that spiritual leadership focused explicitly or implicitly on leader self-awareness and self-regulation with a focus on the vision, values, and attitudes of the leader that emphasized altruistic love, faith, and hope. However, they felt it was not well grounded in empirical research. Spiritual leadership completely excluded discussion of self-regulation for leaders or followers, as well as the moderating role of a positive organizational context. Spiritual leadership and authentic leadership shared a focus on integrity, trust, courage, hope, and perseverance (resilience).

Authentic Leadership ~ Briefly

Avolio and Gardner (2005) asserted that authentic leadership was a root construct for all other types of positive leadership, including transformational, charismatic, servant, and spiritual, which can be represented as follows in Figure 2.04 on the following page. Authentic leadership was the generic leadership (root construct) while the other positive leaderships were more specific forms of positive leadership. Hannah et al. (2005)

defined Avolio, Luthans, and Gardner's authentic leadership as "a process that: (1) emanates from a leader; (2) is driven by the abilities and motives inherent in a highly developed moral self-concept; and (3) is fueled by leader virtue and an altruistic desire to exercise agentic control over the leadership domain" (p. 51). Gardner et al. (2005a) observed that positive psychological capital was engendered when "genuine leaders who lead by example … foster healthy ethical climates characterized by transparency, trust, integrity, and high moral standards. We call such individuals authentic leaders who are not only true to themselves, but lead others by helping them to likewise achieve authenticity. These relationships are characterized by a) transparency, openness, and trust, b) guidance toward worthy objectives, and c) an emphasis on follower development" (pp. 336-337). Luthans and Avolio (2003) and Chan et al. (2005) confirmed that authentic leadership had an ethical component, as did all of the positive forms of leadership. Avolio and Gardner (2005) stated that visions were an articulated future state followers could identify with and commit to over time. Authentic leaders who were also visionary articulated their best conception of future potential and conveyed this authentically to their followers. Inauthentic leaders who were visionary would have manipulatively articulated a vision that benefited the leader more than the organization or the followers. Authentic leadership would lead with purpose, meaning, and values, as would all the positive leaderships.

Transformational, charismatic, servant, and spiritual leaderships differed from authentic leadership in several ways. Buckingham and Coffman (1999) believed

Figure 2.04 Meacham's representation of Avolio and Gardner's (2005) Positive Leadership Models

transformational leadership was the closest form of leadership to authentic leadership. Since authentic leadership was the foundation for transformational leadership, it included an in-depth focus on positive psychological capital, the leaders' and followers' self-awareness and self-regulation, and the moderating role of a positive, strength-based organizational context. Organizations that provided employees with multiple daily opportunities for personal and professional growth within their areas of strength and then focused this development around objectively assessed talents were considered strength-based organizations. Avolio and Gardner (2005) documented that transformational scholars had discussed positive psychological capital, authentic behavior, relational transparency, and authentic behavior for followers, but authentic leadership had always included these constructs as core concepts. Since authentic leadership was the foundation for transformational leadership, transformational leaders must be authentic, but authentic

leaders did not have to be transformational. Transformational leaders focused on followers' leadership development, while authentic leaders focused on followers' personal development. Transformational leaders were charismatic, while authentic leaders might or might not be charismatic. Transformational leaders might have led based both on a powerful vision, an inspiring idea, and on the skills to uplift followers or through a strong sense of self where they knew their position on important issues, values, and beliefs. Authentic leaders always came from a strong sense of self where they were able to articulate, act upon, and model their values and beliefs regarding important issues. Transformational leaders inspired and acted upon their strong belief in their cause, purpose, or vision, while the authentic leaders acted upon their strong belief in themselves, their positive psychological capital, and their efforts to develop followers who could ensure veritable and sustainable outcomes. Transformational leaders focused on their values and beliefs based on issues of social justice (specific situational challenge), while authentic leaders focused on their values and beliefs across varying situational challenges.

Bass (1985) asserted that transformational leaders actively sought to transform their followers into leaders for social justice. Avolio (2005) comparatively said authentic leaders did not actively seek to develop leaders; rather they actively sought to develop authentic followers. Those authentic followers who evolved into leaders often did so based on the positive modeling of authentic leadership exhibited by the authentic leader. Transformational leaders sought to transform the followers, but did not necessarily develop a relationship with them to effect that transformation. Authentic leaders focused

on the development of the authentic relationship with followers to support their evolution toward authentic followership. Through such a reciprocal relationship, the leader and follower both moved toward a heightened degree of authenticity.

Avolio and Gardner (2005) discussed how charismatic leadership theories emphasized the individual, group, and/or organizational levels. Conger and Kanungo (1987, 1998) acknowledged that behavioral charismatic leadership was less attentive to leader and follower self-awareness and self-regulation. The self-concept based theory of charismatic leadership was less attentive to leader self-awareness and self-regulation while remaining attentive to follower self-awareness, self-regulation, identification with leader values, and internalization of these values. Self-concept charismatic leadership's focus on the leader emphasized leader behaviors and motivational mechanisms. Charismatic leadership did not focus on positive psychological capital or veritable and sustainable performance. Charismatic leaders influenced followers primarily with inspirational appeals, dramatic presentations, or other forms of impression management using rhetoric to persuade, influence, and mobilize. Authentic leaders used their own individual characteristics, personal example, and dedication to influence follower self-awareness of values and moral perspective. They energized followers by creating and managing meaning, while socially constructing reality in a positive and meaningful manner.

Michie and Gooty (2005) stressed that positive leaderships, also known as inspirational styles of leadership, had been described as unethical because they appealed to emotions more than reason and could, therefore, be misused by leaders. Howell and

Avolio (1992) asserted that authentic leaders who were also transformational were, by definition, ethical leaders because they were concerned for the common good. Bass and Steidlmeier (1999) maintained the personal virtue and moral wisdom of these leaders inhibited them from misusing personal power or using self-aggrandizement as leadership strategies.

Hughes et al. (2006) acknowledged that scholars often debated whether leadership required a moral or ethical component to be considered leadership. Burns (1978) asserted that an ethical component was imperative for transformational leadership. Bass (1985) originally did not include an ethical component when further developing transformational leadership, but later (1990) added this component into his leadership model. Bass and Steidlmeier (1999) asserted that leaders motivated by unbridled self-interest treated followers inauthentically by viewing them simply as a means to their own ends. Sparrowe (2005) suggested that self-aware leaders were not necessarily imbibed with positive moral perspectives that led to ethical behaviors. The values and beliefs held must be of a positive moral perspective and then acted upon to be perceived as authentic. Therefore, he did not consider authenticity to be intrinsically ethical as Luthans and Avolio (2003) had implied. A leader could be authentic (self-aware, self-regulating), but unethical.

Avolio and Gardner (2005) noted that few of the positive leaderships included balanced processing, relational transparency, authentic behaviors, positive social exchanges, follower values, cognitions and emotions, or follower balanced processing. When describing the organizational context and performance outcomes for positive

leaderships, only transformational and charismatic leaderships acknowledged organizational uncertainty and sustainable and/or *beyond expectations* types of outcomes. Spiritual leadership, while not including organizational uncertainty or sustainable outcomes, mentioned organizational inclusion and *beyond expectations* outcomes. The dimensions included as core concepts in authentic leadership and excluded from the core concepts of other positive leaderships included positive psychological capital, relational transparency and authentic behavior of followers, positive, strengths-based organizational context, and veritable performance outcomes.

Finally, Avolio and Gardner (2005) maintained that when comparing positive leaderships (transformational, charismatic, servant, and spiritual) to authentic leadership, all included a positive moral perspective, emphasis on leader values, cognitions and emotions, as well as follower values. Several of the positive leaderships also included leader value internalization, personal and social identification, and self-determination, as well as follower value internalization.

Summary

Traditional theories of leadership included trait theory, theories of power and influence, transactional leadership, transformational leadership, behavioral theories of leadership, contingency theories, as well as cultural and symbolic theories. In 1978, transformational leadership became the first positive leadership theory developed. The notable positive leadership theories included transformational, charismatic, servant, spiritual, and authentic leadership. Authentic leadership was posited as the root construct of all the positive leadership theories.

Higher Education Administration

The focus of this study is non-faculty senior administrators in higher education. Faculty often perceive senior administrators as staff who are business-oriented rather than academically-oriented. Senior administrators usually hold such titles as Senior Administrator, Dean of Students, or Vice-President. Their responsibilities include leadership, personnel and resource management of multiple departments, fiscal management, student services, facilitation of faculty activities, and engagement of both internal and external constituencies. Senior administrators in higher education have multiple layers of challenges and obstacles that affect their ability to lead while influencing the academic culture where they lead.

This study focuses on the non-faculty administrators who lead within senior administrative levels of governance. To enhance understanding of the challenges and obstacles these leaders encounter daily, the history of higher education is contextually placed within the organizational structures, administrative structures, and academic culture relevant to senior administrators. Finally, effective leadership models within higher education relevant to senior administrators are analyzed.

Historical Context of Higher Education

Brubacher and Rudy (2004) noted that American higher education started with the establishment of Harvard University in 1636. Sinnott and Johnson (1996) asserted that American higher education was patterned after the European model of elitist education. The American focus was on developing the moral individual who was affluent, propertied, talented, and interested in the clergy. Kauffman (1987) posited that the only

governance needed in the first two hundred years was a strong president and influential lay citizens for the governing board of trustees (currently known as regents or trustees). The willingness of the common citizen, whether as a trustee or president, in conjunction with the small size of each institution was what made the system manageable and effective for the first 200 years. Baldridge, Curtis, Ecker, and Riley (1978), as well as Brubacher and Rudy (2004), noted that the small size of the institutions resulted in collegial presidents, trustees, and faculty. While presidents retained teaching responsibilities, they and the trustees had the power to make the decisions for the institution while the faculty concerned themselves with teaching responsibilities. Between 1636 and 1862, few changes in leadership, decision-making, or governance occurred because most institutions remained small and autonomous.

Baldridge et al. (1978) and Brubacher and Rudy (2004) noted that with the Morrill Land-Grant Act of 1862, institutions began to grow in size and specialization. Because of this evolution, presidential responsibilities transformed as presidents gave up teaching to focus on administrative responsibilities. Faculty also began to specialize by discipline, which allowed departments to channel some of the power away from the president to the departments. This decentralization shifted power to faculty, resulting in the need for presidents to *influence* faculty rather than authoritatively direct them as had been practiced in the past.

Baldridge et al. (1978) and Brubacher and Rudy (2004) noted that by 1910, the American Association of University Professors (AAUP) had come to prominence as a device for asserting faculty interests. A policy developed by AAUP and accepted by

many institutions of *shared governance* required all in higher education to take an active role, with attendant responsibilities, in the governance of their institutions. This shift in power, from the president to the faculty, required presidents to add multiple layers of administration to manage the size, scope, and constituencies within institutions. The additional administrators allowed presidents and faculty to refocus on the academic issues of the university. Hence, by 1915, the addition of deans and vice presidents encouraged the emergence of a parallel hierarchy between academic and administrative functions. The diffusion of power among constituents and the growing complexity of governance structures became problematic since no clear distinction between academic and administrative policies was evident. Faculty committees and an effort to regain control over academic and administrative decision-making emerged as solutions. Through administration, the president proposed policies to the faculty committees, which required the committees' contemplation and approval.

Baldridge et al. (1978) and Brubacher and Rudy (2004) noted that by 1945, World War II (WWII) was ending and students began to assert their need to participate in shared governance as well. The return of soldiers from the battlefield to the classroom quickly increased student enrollment. The federal government allocated grant monies to assist veterans through the Servicemen's Readjustment Act of 1944 (GI Bill of Rights). After the Korean War (1950-1953), Public Law 550 of 1952 added additional federal funds for those returning service members. Students of the 1940s and 1950s were more interested in educating themselves in fields that would support the national defense and less interested in shared governance of higher education. They often supported the

government's efforts on national defense while the students of the 1960s attempted to use shared governance to focus on social issues, such as racism and sexism. Graubard and Ballotti (1970) asserted that higher education institutions prior to the 1960s had been *isolated privileged preserves* that were not dependent upon the opinion of the public that funded them. Higher education's prestige was at an all time high, both domestically and internationally. Baldridge et al. (1978) and Brubacher and Rudy (2004) added that the 1960s proved to be turbulent times where presidents, administration, and faculty pulled together as the social upheaval of the times rocked higher education and American culture in general.

Financial Complexities and Motivators

Since the 1970s, higher education has been big business. Large and diverse student populations, multiple funding sources, and significant endowments manage to underscore the financial complexities of higher education. Management of these resources require leaders to have the education and experience that will ensure the survival of higher education. Many challenges within higher education occur because of the financial motivators associated with multi-billion dollar institutions and multiple constituencies with divergent goals using shared governance to compete for control and allocation of these financial resources. Other factors include leaders in higher education administration who are highly credentialed (PhDs), but who are not educated or experienced in the financial operations and effective management strategies for higher education. Even authentic leaders who are not educated and experienced in financial management would not be able to effectively lead these institutions.

According to the 2000 US Census as cited by Murdock (2000), of the total American population of 281,421,906, an estimated 24% of the total American population (44, 462,605) currently holds bachelor's or higher degrees. The National Center for Education Statistics (NCES) is a department of the federal government that collects, analyzes, and tracks multiple layers of data on higher education. NCES (2000) notes that, per capita, governmental spending to support higher education is the highest of the G-8 countries with 2.7% of the annual US Gross Domestic Product (GDP) spent on higher education.

Sinnott and Johnson (1996) add that other sources of funding for higher education include federal, state, and local governments, corporations, tuition and fees, private donors, endowments, sponsored research, and research consortia. NCES (1996) reports that in 1995, total revenues for US public institutions of higher education equaled $119.3 billion, with state and local governments contributing 33% (~$40 billion) of that total.

The State Higher Education Executive Officers (SHEEO) is a non-profit national association of higher education chief executive officers who collect, analyze, and track financial information in higher education. SHEEO (2005) notes that by 2004, state and local governments nationwide collectively have spent $69.4 billion on higher education, while higher education raised another $31.5 billion. A collective total for 2004 of $101 billion makes higher education big business.

The National Association of College and University Business Officers (NACUBO) is a non-profit association that collects, analyzes, and tracks other sources of revenue available to higher education, such as the interest income from endowments.

NACUBO (2006) notes that the size of institutional endowments not only enhances the financial position of the institution, but also enhances the prestige of the institution. Some of the most prestigious private and public institutions have the largest endowments and, therefore, the greatest prestige. In 2005, Harvard University ranked first in endowments with $25.5 billion; Yale University was second with $15.2 billion; Stanford University was third with $12 billion, and the University of Texas Systems was fourth with $11.6 billion.

Administrative education, acumen, and experience are paramount for senior administrators managing such resources. Institutional organization and the attendant administrative structures in higher education determine who prioritizes and allocates these resources, which can create different strategies for attaining control depending upon the organization and administration of the particular institution.

Organization and Administration of Higher Education

Waugh (2003) asserted that institutional size and administrative complexity mattered. As institutions of higher education expanded in size, governance structures within them had been differentiating (institutionalizing). From the 1960s to the present, the bureaucratization of institutions and centralization of administrative functions to the president and administration shifted power away from departments and faculty and back to administration. The continued professionalization of administrative functions caused the lines of authority to become more bureaucratically rigid and less collegial. An increased valuing of specialization (both academically and administratively) created even more distance between academics and administration, while additions of more deans,

vice presidents, and staff formalized administration's authority. The overall impact of these shifts in control and administrative structuring was a greater need for supervision and coordination of administration, faculty, and departments. Increases in the administrative hierarchy met this need. Martins and Samels (1997) noted that the number of non-faculty administrators since 1975 had significantly increased. Between 1975 and 1985, non-faculty administrators increased by 60%. Between 1985 and 1990, their numbers rose another 28%. Waugh (2003) added that such centralization of administrative tasks increased the span of administrative control away from faculty and toward presidents and administrators. Benjamin, Carroll, Jacobi, Krop, and Shires (1993) documented that faculty arguments against these administrative structures included assertions that only departments knew their unique needs, decisions by non-academic administrators were illegitimate, and such administrative influences violated the collegial atmosphere inherent in academic decentralized governance and decision-making.

Categories of Institutions

The category of institution influences the complexities of administration, as well. Institutions have many categorizations. They can be public or private, highly selective (elite) or less selective with admissions, focused on liberal arts education (or not), degree-granting, comprehensives, doctoral-granting, or research-oriented. Each has its own dynamics. The Carnegie Foundation (2004) categorizes institutions based on their missions. They use Doctoral-granting (extensive, intensive), Master's colleges and universities (I, II), Baccalaureate colleges (liberal arts, general, associates), Associate's

colleges, specialized institutions (theology, medical, law, other), and tribal colleges and universities.

Birnbaum (1988) noted that the doctoral and master's institutions were usually political organizations, often focusing extensively on research. The baccalaureate colleges differed in size, which determined whether they were bureaucratic or political while emphasizing teaching over research. The small liberal arts colleges were often collegial while focusing on teaching for *the whole student*. The specialized schools (predominantly medicine, law, or business) were often the anarchical institutions due to the faculty's disproportionate power base compared to administration. Lee and Bowen (1971) added complexity to this analysis by asserting those institutions that had multiple campuses under their control had different dynamics from those who controlled only a couple of campuses or those regionally focused. Multiversities were the largest because they had multiple expanded campus operations that formed mega-systems. While multiversities tended to be coalitions of scholars, students, and subsystems, they were loosely linked together while having conflicting goals, missions, and interests.

Organizational structures and administrative structures also influence the complexities of senior administration. Size and complexity of organizational and administrative structures determine whether institutions are collegial, bureaucratic, political, or anarchical.

Collegial.

Birnbaum (1988) asserts that smaller institutions with small student bodies and faculty ranks are generally collegial. The regents and president primarily make the

majority of the administrative decisions, while the faculty make the academic decisions. The culture of collegiality supports shared governance with an emphasis on consensus and getting along over bureaucratic efficiencies.

Baldridge et al. (1978) asserts that collegial institutions are often more bureaucratic than collegial, although faculty and administration prefer to internally and externally emphasize their collegial overtones. Collegial institutions allow presidents and administrators to have more power than faculty due to their ability to identify, prioritize, and allocate institutional resources. Small liberal arts colleges and many private (smaller) institutions fall within the purview of the collegial model.

Bureaucratic.

Birnbaum (1988) notes that bureaucratic institutions are generally larger than collegial, but often smaller than political institutions. Bureaucratic institutions have reached a level of complexity that requires layers of complex policies and procedures to affect efficiencies. By the 1960s, bureaucratic institutions were quite prevalent because of the increase in student admissions and the attendant increase in faculty. Shared governance has diluted the power of both administration (president) and faculty. Faculty committees are used to help faculty retain some power within the bureaucracy, while administrators retain the power to implement policies.

Baldridge et al. (1978) analyzes that much of bureaucracy involves control over identification, prioritization, and allocation of resources, as well as the administrative operations of the institution. Counterintuitively, large institutions that specialize in research often have significantly less bureaucracy within the teaching and research

domains than smaller bureaucratic institutions because divisions of power emerge where administration control external resources and faculty control internal resources.

Political.

Birnbaum (1988) notes that political institutions are often larger than bureaucratic institutions where their political actors use the art of politics to shift the balance of power among themselves. Politics are the processes of utilizing the power bases the political actors have, through either position or expertise, to influence decision-making. The political coalitions formed are fluid. Today, several departments might join together to exert pressure on the president to meet their needs. However, by tomorrow, many of these same departments might be on opposing sides of the next issue. The ambiguous, fluid, and contentious nature of political organizations requires leaders to exert additional control within shared governance so that conflict within the organization does not increase to anarchical levels.

Baldridge et al. (1978) posits that within higher education, the political model is perhaps the most effective. The political actors often have high levels of power due to their expertise within the institution, but unfortunately, this same expertise focuses them on their discipline's self-interests rather than the overall institution's interests. With that said, the administration often focuses on the overall institutional interests rather than simply departmental needs. The fluidity of influential political actors maintaines a balance within this system that afforded all constituencies the opportunity to have their needs addressed.

Anarchical.

Anarchical institutions are political institutions that thrive on *organized anarchy*. Birnbaum (1988) indicates anarchical institutions are often not large enough to be overwhelmed by bureaucracy. They are often professional schools (medicine, law) and highly specialized schools (business) whose members individually and collectively hold much power. Other institutions might also be anarchical when their constituents have the power to represent their own self-interests. Individual faculty who control large research grants can sustain anarchy by using this power to protect their self-interests.

Birnbaum (1988) notes the primary difference between political and anarchical organizations is the assertion of individual agendas over group agendas. The anarchists have the political power, whether based on position or expertise, needed to affect change without the need for forming coalitions with others. The *anarchy* exists because of this unwillingness to pull together for the common good.

Governance

Governance structures influence the collegial, bureaucratic, political, and anarchical institutions. Tierney (2004) states governance relates to the structures and processes of decision-making and policy-making, but do not relate to daily operations. Peterson and Mets (1987) adds that those political actors wishing to manage the decision-making processes are concerned with the implementation of decisions, while those wishing to lead the decision-making processes are concerned with influencing those decisions.

Baldridge et al. (1978) maintains that several of higher education's unique characteristics influence governance issues. Some of these characteristics include goal ambiguity, student-driven demand, problematic technology, professionalism, organized anarchy, academic bureaucracy, collegial decision-making, faculty with professional authority over decision-making, and a utopian ideology (credentialism) for administrative structures.

Tierney (2004) believes that the functions of academic governance safeguards the mission of the institution and acts as a buffer from external stressors. He also believes this governance oversees fiscal integrity and solvency, arbitrates internal disputes, and acts as a change agent using policy to affect change.

Internal Pressures on Higher Education

Many variables produce internal pressures within and against institutions. The significant variables that create pressures include the various political actors, including regents and trustees, as well as power structures and the academic culture created by the faculty and administration at the institution.

Political Actors

The political actors involved in governance can directly influence the complexities senior administrators manage daily. Fowler (2004) states that the primary political actors who influence higher education include regents, presidents, faculty, administration, alumni, the public, and the student body. Weingartner (1996) specifies that trustees develop and authorize policy while administration designs and implements these policies. Faculty provide instruction, but they also have an impact on policy. They

bring policy matters to administration and later approve these same policies. Presidents have distinctive responsibility of providing leadership for their institutions.

Weingartner (1996) indicates that presidents provide this leadership by reporting directly to regents while managing the administrative and academic missions of their institutions. Administration reports to the president while faculty report to presidents through administrative representatives such as provosts, vice presidents, deans, and chairs. Tierney (2004) concludes that while faculty might report to their president, they are ultimately hired, promoted, or terminated by trustees.

Regents/Trustees

Tierney (2004) and Weingartner (1996) note that while regents/trustees have the ultimate legal responsibility for institutions, they have delegated many responsibilities to the various layers of administration. Three distinct faculty governance structures have emerged: faculty committees (organized on the department, school, or college level), academic senates (institutional level), and those powerful individual faculty who have informal power and control through the grant monies and revenues they bring into the institution. Birnbaum (1988) adds that the governance structure of *who decides* and *who decides who decides* can support political conflict or focus on the survival of higher education.

Power Structures

Political actors' positions within the institution often provide access to various power structures. Based on research by Gross and Grambsch (1977), presidents from the 1970s were perceived as the leaders for goal identification who utilized their power

structures to identify comprehensive goals that served the mission of the institution. Regents were perceived as having the second highest amount of power, as perceived by both academia and society, based on their outsider status. Vice presidents were perceived to have the third highest levels of power because of their insider status and managing of the internal constituents. Deans were ranked as fourth in overall power since they were responsible for managing the faculty. The late 1970s produced a major power shift in public institutions when legislatures, state governments, the federal government, and the public (external constituents) joined forces with regents, which began to shift power away from administration, faculty, deans, and chairs (internal constituents). External constituents often perceived their own focus as being on goal identification and attainment, while perceiving internal constituents as too focused on self-interests and maintaining the status quo. Van Patten (1990) asserted that effective leadership, through the use of power structures, could curb the imbalances of power and the excesses demanded by both external and internal constituencies.

Power structures utilized by external and internal constituents greatly influence shared governance within higher education institutions. Fecher (1985) documents that shared governance traditionally focuses the faculty upon academic concerns such as peer review in hiring and retention of faculty, control over admissions, design and implementation of curriculum, practices and standards for teaching and course content, as well as assessment of student learning. Faculty are presumed, based on expert power, to have the sole expertise needed to make decisions regarding academic issues. Gross and

Grambsch (1977) claim that these academic decisions are solely within the purview of the faculty, which constrains any administrative input on any academic decisions.

Baldridge (1982) declares that faculty who are attentive to teaching, research, and public service focus on the internal workings of higher education with little regard for the good of the whole. Power struggles between faculty and administrators are rarely about academic issues. Administrative issues on who identifies, prioritizes, and allocates resources creates the greatest power struggles and power shifts. Such power struggles revolve around the macrolevels of shared governance, which focus on the good of the whole. Decisions once made by faculty are now made by deans; those decisions once made by deans, are now made by vice presidents. Financial authority for resource allocation has moved upward toward administration. Fecher (1985) adds that faculty worry they are not involved enough while administration worries faculty are too involved.

Academic Culture

The academic culture influences the political actors. Schein (2004), an expert on culture, said culture was "a pattern of shared basic assumptions that was learned by a group as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems" (p. 17).

Schein (2004) notes that culture tends to determine how things are done, which limits the possibilities while restricting actions and thoughts. It can constrain organizational processes and any efforts toward change. O'Toole (1996), a leadership

expert, posits that people embrace the dominant ideology of their culture because they are invested in the system in terms of status, beliefs, and values. Those resistant to change, but who are not economically invested are often socially and psychologically invested with the status quo. These self-interest values influence their thinking and behaviors. They often feel they have something to lose if the status quo was overturned, even if the perceived loss was not monetary. Sinnott and Johnson (1996) add that in higher education, several cultures exist. Shared governance creates disparate political actors with disparate value systems.

One of the most stressful internal influences for senior administrators are faculty and the academic culture they have created over time. Tierney (2004) indicates that while faculty understand administration is needed, they often feel misunderstood as a collective group, are jealous of the large administrative offices, resentful of large administrative staffs, put off by administration's business attire, and believe that administration undermines faculty authority. As such, faculty often express that *corporate* cultures are not right for higher education. Administration often believes faculty waste time, jealously protected their fiefdoms, and make decisions based on self-interests rather than institutional-interests. Flower (2003) theorizes that many academic departments have culturally become Balkanized hierarchies where political strategies and struggles have reduced institutional abilities to resist external constituents. Such dysfunction allows faculty to become targets, which creates a feeling of victimization that leads to further entrenchment. Benjamin et al. (1993) and Tierney (2004) contend that shared governance, as it has been, is no longer adequate to meet the needs of

contemporary society, which burdens senior administrators who manage higher education institutions. Shared governance influences institutions' abilities to secure, prioritize, and allocate financial resources for the survival of higher education institutions.

External Pressures on Higher Education

Only the external pressures on higher education rivals these internal pressures. Regents and trustees are the one variable that create internal and external pressures. Other variables that create external pressures include the focus on the public good, the power of boards of regents/trustees, and politicians who use boards to forward their personal and political agendas.

Public Good

Sinnott and Johnson (1996) specify that institutions of higher education, whether public or private, are supported by society for the public good. Therefore, public institutions, through state appropriations, have a greater obligation than even private institutions to work toward the public good. While states might not fund the annual operations sufficiently for these institutions, the capital improvements funded by the state over time give the public ample right as owners of those institutional assets to exert influence on the use of these public assets.

Bowen and Shapiro (1998) attest that scholarship is viewed by much of society as a public good so higher education must seriously focus on their obligation to serve the public. The Federal Reserve Bank of Chicago (2005), Millett (1978), and Sowell (2002) theorize that prior to 1980, higher education was perceived as a public good that benefited society so the government funded more of the students' costs through

governmental appropriations (funding student grant programs). Since 1980, a conservative movement has politically reframed higher education as a private good that benefits only the individual rather than society. As a result, current government funding practices require students to bear a greater burden of the cost of higher education (shift from primarily funding grants to primarily funding student loans that must be repaid).

Van Patten (1990) notes that the anti-intellectualism of the 1920s, 1930s, and 1950s has returned since 1980 and is still strongly felt by higher education. Sowell (2002), a noted conservative, and Van Patten (1990) assert that conservatives want to hold institutions accountable for refocusing on the basics of education at the expense of some of the electives. Progressives want to foster an environment of individual intellectual reasoning and learning simply for the sake of learning, which they perceive benefits society more in the long-term than simply focusing in the short-term on the basics.

The Federal Bank of Chicago (2005), in one of its economic analyses, concludes that if a new social compact is negotiated with the public where higher education pushes for cost containment and improves productivity while the public raises their thinking about the benefits of higher education to society, much of the external pressures on higher education will decline.

Boards of Regents/Trustees

Boards of regents have always been composed of laypeople. Kauffman (1987) documents that in 1636, there was no federal government to exert authority over higher education, so lay representation became a characteristic for exerting authority through

these boards. Tierney (2004) adds that even current boards of regents continued the tradition of having laypeople for board members.

Tierney (2004) asserts board members are not required to have any in-depth knowledge regarding the structures and functions of higher education, even though they have the power to authorize policies and funding decisions for these institutions on the public's behalf. Many regents have little or no experience with higher education issues since many are political appointees. Waugh (2003) asserts that politicians and many of their appointees know little about leading or managing higher education. Gilley (1991) concludes that the appointees are often indebted to the political structure that appointes them.

Politicians

Gilley (1991) notes that when a governor appoints regents of public institutions, appointees often feel an obligation to follow the political positions of that governor rather than the interests of the institution. Some of the politicians involved in appointment recommendations for regents have asserted that internal constituents (presidents, administrators, and faculty) are often incompetent and not very interested in cost containment. Tierney (2004) claims that regents who diverged from their duties with policy matters to involving themselves with administrative concerns often manifest governors' interference. Sinnott and Johnson (1996) maintains these governors and regents have their focus on what higher education institutions can do to enhance the state's prestige. Governors and regents have put unprecedented financial scrutiny and accountability on higher education, while tending to view these institutions as corporate

entities, rather than *seats of learning*. Even within private institutions, regents are often appointed based on their ability to access and influence those with financial resources.

Benjamin et al. (1993) asserts that external pressures on higher education institutions are relentless. Increasingly diverse student bodies, declining resources, escalating costs, deferred facilities maintenance, and salary escalations have complicated the survival of many institutions. Adding to this complexity, the intrusion of governmental control through regents and governors who have a zealous focus on accountability and a return to the basics have made the job of senior administrator less desirable.

Effective Leadership in Higher Education Administration

Effective leadership in higher education administration is a challenge for the short-term and the long-term. Issues of emergent leadership, political effectiveness, institutional focus, managing meaning, leading change effectively, and positive leadership style influence effectiveness.

Much research has been done in the area of leadership with most of the focus on the corporate world. However, leadership in higher education has also been studied. Some researchers believe that the role of leadership in higher education is often more symbolic than leadership in the corporate world. Birnbaum (1988) explains:

> Common ideas about the efficacy of strong and decisive leadership may have some validity in business firms that are hierarchical and goal directed and in which subordinates expect to receive directives from superiors. But leaders in higher education are subject to internal and external constraints that limit their effectiveness and may make their roles highly symbolic rather than instrumental (pp. 28-29).

This perception is due to extensive research that has been completed in organizational theory in higher education. Birnbaum (1988) asserts that corporations and higher education institutions are different in structure, authority, and governance. Corporations use a hierarchical structure with a chief executive officer (CEO) as the leader with decision-making authority coming primarily from the top. Subordinates (followers) implement the decision-making while sending feedback up the chain of command. Goals are apparent to everyone within the corporation with one primary emphasis: profit-taking. While boards of directors have authority over CEOs due to their shared goals of profit-taking, boards generally allow CEOs to run the corporations autonomously. Higher education institutions use a hierarchical structure as well, but the leaders have shared authority with the faculty who are beneath them on a traditional organization chart. This major difference between corporate and higher education authority can reduce, but not necessarily eliminate, the efficacy of leadership.

Birnbaum (1988) notes that a multi-faceted leader can diminish the impact of reduced effectiveness. A multi-faceted leader has effective personal qualities, the ability to manage effectively situational demands, proven interpersonal competencies, and a thorough understanding of institutional characteristics. Other complications can occur due to decision-making on multiple levels as the faculty, staff, administration, divisions, and political coalitions of the institution autonomously determine their own appropriate goals. Goals of excellence in education, developing quality students and educating the citizenry are subjective concepts that often lack definitive direction. Hence, these goals can be interpreted in many ways by the multiple constituencies. Can leaders be effective

in institutions so structured? The key to obtaining effective leadership in higher education is going to be to identify, select, and support multi-faceted leaders.

Northouse (2004) concludes that many of the leadership theories focus on one variable without incorporating the others into the leadership model. Traditional leadership styles include trait theory, theories of power and influence, transactional leadership, behavioral theories of leadership, contingency theories, as well as cultural and symbolic theories.

Emergent Leadership

Nidiffer (2001) stresses that emergent leadership might be more effective in higher education than traditional leadership because many of the forces within a higher education environment tend to neutralize traditional leadership (micromanaging trustees, unions, tenure). Authoritarian styles simply polarize participants, thereby neutralizing traditional leadership effectiveness. Emergent leadership, focusing on networking, bridge-building, communication, and meaning management, are not neutralized within a culture of shared authority.

An integrated model that utilizes some skills from traditional leadership and some skills from emergent leadership might be the most effective model in the end for higher education. Fincher (2003) states that the complexities of higher education will necessitate complex leaders. An integrated model must encompass the combined effects of personal qualities, situational demands, interpersonal competencies, and institutional characteristics. Kouzes and Posner (2003) specify that leaders having these characteristics will be considered *multi-faceted*. Personal qualities of honesty, forward-

looking, competence, and ability to inspire will enhance credibility. Budig (2002) adds that having the intelligence, humility, and aspirations to build something intangible and lasting are necessary in higher education. Fisher, Tack and Wheeler (1988) indicate that those who display vision and higher energy levels, maintain visibility, relate well with others, and draw respect and admiration appear to have the personal qualities of effective leaders. Other personal qualities needed by effective leaders include being bold decision-makers, using power well, having a positive self-image, being trusting and trustworthy, as well as believing in shared governance while supporting the goals of the institution.

Davis (2003) posits that situational demands require the appropriate implementation of contingency theory. Effectively exerting influence, maintaining accountability, collaborating, finding agreement rather than conflict, employing rational, legal and ethical criteria to decision-making, understanding financial management, moving forward gracefully with change, positively managing people, encouraging professional development and embodying a philosophy of continuous learning would allow leaders to handle any situation that comes up in higher education. Persuading and inspiring others to follow these examples will allow for appropriate decision-making on all levels of the institution. These improved and focused decisions will allow the institution to accomplish its multiple goals.

Goleman et al. (2002), as well as Shaw (1999), believe that interpersonal competencies include having high levels of emotional intelligence (EQ) and the ability to handle personal anxieties and tensions. Finding satisfaction in giving and receiving, forming and maintaining close relationships with others, and redirecting hostile energies

into constructive outlets enhances interpersonal competencies. Finally, the ability to adapt to change, love oneself, love others, and be able to differentiate between the impossible and the possible are essential interpersonal competencies for leaders. Fincher (2003) adds that an emphasis on scholarship, dependability, socially participating and being persistent with attaining institutional goals will enhance the perception of appropriate interpersonal competencies.

Political Effectiveness

Birnbaum (1988) and Diamond and Adam (2002) maintain that being politically effective as a leader includes understanding and accepting the institutional characteristics, which will allow leaders to function effectively within the organization. Collegial institutions are small when their faculty members and student bodies are few in number. Because of fewer faculty members, a culture of collegiality can be developed and sustained at all levels. Shared authority is expected and demanded. Presidential decisions are made with the input of the faculty and group decisions are accepted as preference. Bureaucratic institutions tend to have an obvious hierarchy, but the shared authority by faculty and presidents neutralizes many initiatives. The sheer size of the bureaucratic institutions hampers initiative and enhances inertia through multiple layers of policies and procedures. Political institutions support factions that might or might not have the goals of the institution in mind. These factions also change sides depending on the political environment and the times. Shared authority becomes a millstone when presidents have to interact with multiple and ever-changing alliances. Anarchical institutions are complex and challenging for leaders. The separatist philosophy of the

individual faculty do not allow for shared authority since these same faculty rarely *share* with administration. Instead, the faculty autonomously determine their own goals and directions while deigning primarily to share authority with administration around budget time.

Birnbaum (1988) notes that leaders who understand these institutional dynamics, possess effective personal qualities, understand and have the ability to deal with situational demands, as well as effectively utilize interpersonal competencies will be effective leaders in higher education. With that said, effective leadership is about more than the individual. It is also about the institution.

Institutional Focus

Shattock (2003) notes that effective institutions are sensitive to their external environment (societal considerations), are fiscally conservative, have a sense of cohesiveness and identity that allows them to develop and implement shared goals, as well as being accepting of idiosyncratic approaches to organizational structures. Davis (2003) states that these institutions must move forward, taking the faculty and/or coalitions with them, focusing on solving problems, being creative, initiating new programs, building (not undermining) organizational structure, and constantly striving to improve quality.

Diamond and Adams (2002) conclude that this type of institutional focus supports the changing dynamics of its internal and external environment and adapts the institution to these changes. It transforms itself through a process of transformational change. Such transformational change can only occur effectively with appropriate leadership. In this

age of transformation, global communications, explosions of technology, and a renewed understanding of the critical nature of relationships, appropriate paradigm shifts and organizational culture changes are required for higher education to continue its mission of teaching, research, and service.

Managing Meaning

Budig (2002) and Eckel and Kezar (2003) stress that institutions, leaders, and all other individuals (faculty, students, trustees, donors) within institutions must understand their historical context, look retrospectively, identify and analyze collective understandings and be willing to create new understandings that support transformational change. Leaders take responsibility for managing meaning and interpreting and shaping these meanings so that institutions can prepare to move forward with collective understandings of where this forward movement is taking them.

Budig (2002) and Eckel and Kezar (2003) conclude that managing of meaning emphasizes the importance of the message, enhances the clarity of this message, and motivates others toward action. Diamond and Adams (2002) note that effective leaders address both consistencies and inconsistencies, articulate the vision as they manage meaning, encourage collaborative leadership, and are committed to leadership development, research, technology, and best practices. They believe in collecting and utilizing data, integrating financial and academic planning, and strongly support reward structures that enhance the mission of the institution toward transformational change. Eckel and Kezar (2003) contend that effective leaders understand these transformational

changes are about making broad changes that allow for the fulfillment of the institution's public responsibilities.

Leading Change Effectively

Shaw (1999) suggests effective leaders can lead their institutions through these times of transformation. Often, it is inspirational leaders who effectively respond to situational demands and who understand institutional characteristics. They are often perceived as inspiring others to transform their ways of thinking, not just asserting new goals and strategies necessary for success.

Shaw (1999) asserts institutions mired in their own inertia will resist change unless inspired to do better. "For most organizations, the guiding rule seems to be that nothing new should happen here for the first time" (p. 55). Weil (1994) adds that inspirational leaders can use effective communication to foster awareness, understanding, favorability, involvement, and commitment of those within the institution that will focus them on transformational change.

Positive Leadership Style

Davis (2003) argues that charismatic and inspirational leaders are not synonymous. Charismatic leaders are well known for their motivational abilities, but these motivational abilities often draw focus on them as an individual, rather than on their message. They are known not only for what they do, but also for how their followers perceive them. They effectively communicate the big picture, their ideas, and their vision, as well as model these messages for others. They are often perceived as being energetic and, simultaneously, as eloquent.

Davis (2003) concludes that faculty unfortunately often view charismatic leaders with suspicion. Because of faculty reaction, charismatic leaders have to tone down their style and pursue policies of consensus where the lowest common denominator of decision is the acceptable one to the faculty. This dynamic of consensus building often chafes charismatic leaders who are used to bold, creative "… new vision (that), by definition, is not simply the majority view, but an unthinkable dream that almost no one else in the organization has been able to imagine" (p. 13). It is easily understood that consensus maintains the status quo and rarely promotes or is conducive to transformational change. Perhaps a more effective approach to leadership under these circumstances will come from the inspirational leader who will stay ahead of the curve and chart a reasonable course of action while inspiring others to affect the transformational change.

Nidiffer (2001) contends that inspirational leadership is a dimension of transformational leadership that draws followers to the ideas of the leader, not the leader himself or herself. Because of this influence (away from the person and onto the ideas), inspirational leadership is considered more effective than charismatic leadership. The focus of transformational, therefore inspirational, leadership is often concerned with "end values such as liberty, justice and equality" (p. 106), more often viewed as an ethical form of leadership associated with efforts to improve an organizational culture. Diamond and Adam (2002) note that an inspirational leader can often effectively communicate societal goals of diversity, which support many higher education mission statements. Not only should these values be mission-driven, but also they must be reinforced as an asset by being evidenced within the current administration and supported in public and private

by all of the leadership (administration, faculty, students, and trustees) in higher education.

Depending upon which type institution the leader leads, Nidiffer (2001) concludes that certain leadership styles are more effective than other leadership styles in higher education. Multi-faceted leaders who have effective personal leadership qualities, are flexible and proficient with situational demands, have proven interpersonal competencies, and who understand the characteristics and challenges of the institution they lead will be the most effective leaders in higher education. Avolio and Gardner (2005) contend that multi-faceted leaders are often authentic leaders.

Summary

Senior administrators lead within academic cultures that were influenced by size of institution, organization of administration, and categorization of collegial, bureaucratic, political, or anarchical institutions. Effective leaders within such a context must be multi-faceted and inspirational. Authentic leaders were effective in these complex, high risk, and often very traditional academic institutions.

Authenticity

Erickson (1995a) documents that authenticity has been discussed over time, but the modern conception has been developed over the past 80 years. Avolio and Gardner (2005) stress that humanistic psychology provides the *intellectual heritage* for the theory of authentic leadership (p. 321). The humanistic psychologists Carl Rogers and Abraham Maslow focused on self-actualization (fully functioning people), which requires authenticity. Self-actualized people are in harmony with their true selves (basic nature)

and have clarity regarding how they see themselves and their lives. Self-actualized people make choices that promote their development because they are not influenced (unencumbered) by external influences and expectations. Maslow (1971) believes individuals can not be self-actualized unless they have strong ethical convictions.

Ilies et al. (2005) defines authenticity as "a broad psychological construct reflecting one's general tendencies to view oneself within one's social environment and to conduct one's life according to one's deeply held values" (p. 377). Authentic leaders manifest their authenticity through their very existence and behaviors, including leading others. They personify Aristotle's philosophy of the *good life*, which often results in self-realization (eudaimonic well-being) for both leaders and followers.

Shakespeare's (1901) famous quote, "to thine own self be true" (Hamlet; Act I; Scene iii) seems to assert the very essence of being authentic. Luthans and Avolio (2003) stress that being true to the self requires keen self-awareness to determine who the true self is. Aligning behaviors and actions with the true self requires self-regulation. Erickson (1995a) views authenticity as "one's relationship with oneself" (p. 124). Harter (2002) defines authenticity as "owning one's personal experiences, be they thoughts, emotions, needs, wants, preferences, or belief processes captured by the injunction to 'know oneself'" (p. 382) and "that one *acts* in accord with the true self, expressing oneself in ways that are consistent with inner thoughts and feelings" (p. 382). Trilling (1972) simply concludes that authenticity is expressed when individuals accurately and honestly portrayed themselves to others.

Authenticity is often confused with sincerity. Trilling (1972) describes sincerity as the outward manifestation of feelings and thoughts, which are aligned with the reality experienced by the self. The external world, therefore, determines sincerity based on external expectations, rather than Erickson's (1995a) belief that the internal world determines without any influence from the external world if one is true to the self. Avolio and Gardner (2005) summarize by saying, "in contrast to sincerity, authenticity does not involve any explicit consideration of 'other'" (p. 321).

Kouzes and Posner (2002) allude to authenticity when they specify that leaders must know their true selves and what value system they utilize to determine their behaviors and actions. Rather than using the words of others, leaders must find their own true voice to gain credibility with followers. Commitment to these processes will allow leaders to *model the way*. Bass and Steidlmeier (1999) add that followers discern leader authenticity to assess the leader's intentions. Hence, authenticity is comparable to the leader's expressed moral compass.

Kernis (2003) observes that authenticity theory involves the four dimensions of awareness, unbiased (balanced) processing, relationship transparency/authenticity, and authentic actions/behaviors. Understanding the self, honestly assessing the self, developing and maintaining genuine relationships, and taking actions that express authenticity are essential to the authenticity construct.

Chan et al. (2005) identifies four key components to authenticity: affective, cognitive, valance, and self-referential expression. The affective component is associated with feelings of being true to one's self. The cognitive component is associated with self-

awareness of one's true self and socially prescribed roles. The valance component is associated with commitment to self. Finally, the self-referential expression component is associated with how others perceive the authenticity of the leader. Authentic leaders have a heightened capacity to effectively identify, examine, analyze, and process self-information. Such a capacity for self-analysis develops within the self strong abilities for accessing complex schemas about the self, analyzing these schema centrally and peripherally, and then selecting and activating the self-schemas reflecting emotions, attitudes, values, beliefs, goals, and roles.

Erickson (1995a, 1995b) and Heidegger (1962) posit that the authenticity of a person is based on a continuum between inauthentic and authentic with no one being entirely inauthentic or entirely authentic. People develop and achieve levels of authenticity. Avolio and Gardner (2005) affirm this view, saying that leaders develop authenticity over their lifetime and attain varying levels of authenticity. The more authenticity leaders develop, the further they proceed along the continuum.

Chan et al. (2005) maintain that authenticity is important because it is predicated on the authentic development of the leader. Authentic leaders achieve greater leadership outcomes than other leaders since authenticity serves as a key leadership multiplier. The multiplier effect allows the synergy created from all the elements of authenticity to enhance the leadership potential and leadership development of the individual.

Moral Development

Avolio and Gardner (2005) posit that moral development is a strong component of authentic leadership. After an overview of moral development, moral development

processes are analyzed. The moral development models and theories of Lawrence Kohlberg, Carol Gilligan, and Martin L. Hoffman are discussed. Finally, concepts significant to moral development are identified.

Overview

Rich and DeVitis (1994) write that moral development refers to the life long process of determining appropriate and acceptable morals, and then acting upon this morality or system of conduct based on moral principles. Morals are societally acceptable behaviors based on principles of what is right, virtuous, or just within that society. Immoral behaviors or principles, therefore, are those that do not comply with acceptable principles of right conduct. The two major theoretical frameworks used within the study of moral development include the scientific approach and the philosophical approach. The scientific approach uses social and behavioral science to determine what people believe about morality and the actual behaviors they engage in when acting morally or immorally. The philosophical approach uses the study of ethics, which is also known as the study of the nature of morality and moral acts; moral development can more specifically be defined as the "growth of the individual's ability to distinguish right from wrong, to develop a system of ethical values, and to learn to act morally" (p. 6). Moral development involves cognitive abilities, maturation, personal growth, various developmental stages, socialization processes, and moral abilities.

Rich and DeVitis (1994) contends that the study of moral development matters. Various theoretical models for moral development have developed over the years with new insights and improvements for critical analysis available to answer the questions of

which moral principles are being chosen, what behaviors stem from these choices, and what is the impact of such choices. Many moral development theorists have attempted to develop models that will assist with answering these questions.

The theorists Kohlberg, Gilligan, and Hoffman identify the theoretical bases for moral development relevant to authentic leadership. Rich and DeVitis (1994) notes that Kohlberg developed the dominant paradigm of moral development based on the premise of a universal, hierarchical form. Most of his research used male participants, which resulted in the development of moral stages oriented toward male socialization and development. Gilligan, using female and male participants, developed a counter-paradigm for moral development based on female socialization and development. Martin L. Hoffman, using male and female participants, focused on the role of empathy and social cognition related to moral development. Kohlberg's theories focused on principles of justice while Gilligan's theories focused on principles of caring. Hoffman's theories focused on how empathy could be used with both principles, justice and caring.

Rich and DeVitis (1994) documented that Austrian psychologists Freud, Adler, and Bandura and Swiss psychologist Piaget developed theories of moral development in childhood. German psychologist Erikson along with American psychologists Havighurst and Hoffman developed theories of moral development in adolescence. Additionally, American psychologist Kohlberg developed a theory of moral development through the life span (childhood, adolescence, and adulthood). His work was followed by another American psychologist, Gilligan, who also focused on moral development through the

life span as she developed a theory of moral development focused primarily on women's moral development relative to men's moral development.

Moral Development Processes

Moral development processes based on values, moral standards, morals, mental models, and decision-making are reviewed. Findings conclude that varying levels of moral development can be attained within a lifetime. Bandura (2002), Kolb and Whishaw (1998), and Hannah et al. (2005) posit that individuals develop and learn to execute moral control as they use meta-cognition to analyze and reanalyze trigger events and the schemas and scripts that are constructed based on these events. Over their lifetime, their self-concept is developed in parallel with moral development.

Kohlberg (1981) determined that moral development was enhanced by the quality and quantity of ethical experiences faced, a process of deep introspection, and the meaning-making associated with these events. This continuous and recurrent process shaped individuals' moral development and assisted them with moving through the various moral stages toward postconventionalism (Kohlberg's highest stage of moral development).

Bennis (2003) and George (2003) believe values are taught by society to benefit society and its various social groups. The socialization process used to convey values starts in early childhood and continued through a lifetime. Once these values become internalized, the value system will become an integral component of the self. Erickson (1995a, 1995b) indicates that being authentic means being true to this internalized value system and the self while resisting external pressures to alter, ignore, or accept

conflicting value systems. Unless a conscious effort has been made to be self-aware of this value system, the value system and self cannot evolve sufficiently to become more authentic.

Bandura (1977) and Hannah et al. (2005) note that moral standards and ethics developed within a cultural context are affected by societal influences. Those within the culture then learn these ethics and moral standards. Bartunek (1984) and Bartunek and Moch (1987) maintain that social learning, social enactment, and meaning-making processes, form ethics at the societal, organizational, group, and individual levels.

Schulman (2002) refers to morals as *doing what is right and fair* rather than *doing the right thing*, which requires a judgment whether the *moral behaviors* are good or bad. Kitwood (1990) notes, "morality entails a deep respect for the integrity of the being of another" (p. 101). Walker (2004) defines morality as "voluntary actions that, at least potentially, have social and interpersonal implications and that are governed by internal psychological (that is, cognitive and emotive) mechanisms" (p. 43). Morals reflect fundamental values, identity, and lifestyle, which can affect the rights and welfare of others. Moral functioning is influenced by the interdependent and interactive nature of behavior, thought, and emotion.

May et al. (2003) indicate that individuals develop mental models based on experiences and ethical analyses that facilitate the moral recognition necessary to identify ethical dilemmas. They constantly update their system of analysis to include unusual ethical situations, which increase their moral capacity. Analyzing processes and outcomes allows them to focus on universal principles. Continuous assessments of

unethical, illegal, or immoral dilemmas are at the forefront of these individuals' strategic planning.

Hannah et al. (2005) asserts that those who use self-reflection with meta-knowledge (enhanced understanding of self) simultaneously strengthened their self-concept and moral development. They also strengthen their ability to explain their moral-self to others. Individuals who are exposed to more ethical or moral dilemmas raise their efficacy in the moral meaning-making processes simply because they know more and have reflected on this *knowing* more.

Lawrence Kohlberg (1927-1987)

Rich and DeVitis (1994) and Walker (2004) observed that Kohlberg's cognitive development theories with attendant stages of moral development focused on the principles of justice rather than on the principles of caring, cooperation, or equity. Kohlberg felt moral development was acquired through the processes of thinking and problem-solving and an acquired understanding of morality. He defined three levels of moral development with two stages per level. The levels were the preconventional level, the conventional level, and the postconventional (or principled) level. The stages for the preconventional level included two stages. Stage 1 (heteronomy) reflected an orientation toward physical and material power constrained by punishments and a focus on obedience. Punishment was avoided by obeying rules. Stage 2 (exchange) reflected a naïve instrumental hedonistic orientation developed as the focus turned toward conforming to obtain rewards. Two additional stages comprised the conventional level. Stage 3 (expectations) reflected a transition from material power to interpersonal power

by seeking approval and maintaining expectations within one's immediate group. Conforming and being nice resulted in earning approval and avoiding disapproval. Stage 4 (social system and conscience) reflected an orientation toward law, order, duty, and authority that ensured the social or religious order. When individuals did their duty and abided by social norms, they exhibited right behaviors. Finally stages 5 and 6 encompass the postconventional level. Stage 5 (prior rights and social contract) reflected an orientation toward respecting the rights of others, equality, and mutual obligations. Personal rights, subordinated to social rights, maintained a democratic order. Finally, stage 6 (universal ethical principles) reflected an orientation toward universal principles of conscience that motivated right behaviors.

To summarize, Thomas (1997) labeled each of Kohlberg's stages by its type of morality: Heteronomous Morality (stage 1); Individualistic, Instrumental Morality (stage 2); Impersonally Normative Morality (stage 3); Social System Morality (stage 4); Human-Rights and Social-Welfare Morality (stage 5); and finally, Morality of Universalizable, Reversible, and Prescriptive General Ethical Principles (stage 6). Rich and DeVitis (1994) noted that Kohlberg's general and abstract ethical principles appealed to comprehensiveness, universality, and consistency. All these stages were based on ways of thinking about moral matters using a justice perspective. Kohlberg asserted that stages 1 and 2 were characteristic of young children while stages 3 and 4 were characteristic of the general adult population. He believed only 15% - 20% of the general adult population had morally developed to stage 5 and only 5% - 10% of the general adult population had morally developed to stage 6. Kohlberg believed his hierarchical stages

were systems of thought that were progressed through sequentially. Individuals might progress at varying speeds through the stages, but all passed through the stages in the same order. Stage 6 was more socially adaptive, but was philosophically superior to lower stages because individuals were moving closer to basing their moral decisions upon a concept of justice based on a human-being orientation, not a societal or individual orientation.

Rich and DeVitis (1994) and Walker (2004) noted that Kohlberg believed logical reasoning enhanced advanced moral reasoning, even though logical thinking and moral reasoning did not guarantee moral actions. Therefore, some scholars believed Kohlberg's stages were cognitive stages of morality rather than stages of moral development because acting morally was not a prerequisite for identification with any particular stage. Kohlberg also believed emotions were irrational and detracted from logical reasoning. He believed that female thinking, with its emphasis on caring and sensitivity to other's needs, was developmentally insufficient. Such thinking often resulted in women being placed in stage 3. Kohlberg believed stage 3 was functional and adequate for women and their role in the world. Later in life, he believed that the character trait of conscientiousness could be associated with the conventional level (stages 3 and 4) and compassion, fairness, and benevolence could be associated with the postconventional levels (stages 5 and 6).

Carol Gilligan (1936 -)

Gilligan (1982) found that research into stages of moral development had often been devoid of female representation because many of the researchers had primarily

studied male adolescents and adults. As a result, past research had interpreted women's different approaches to moral reasoning and decision-making as arrested moral development and limited personal growth. She described the *different voice* as the themes women represented when morally reasoning, which were unrelated to but were associated with gender in Western society. She used male and female participants for her research on moral development. Her research differed not by design or implementation, but because it was based on the position of the observer. Male researchers, describing themselves as gender neutral in their scientific objectivity, often misunderstood the nature of women's reasoning approaches and, therefore, misinterpreted their development as limited, immature, or stunted. These researchers used male reasoning patterns as the standard to judge their participants' moral development, thereby often labeling women who did not match this norm as deviant.

Gilligan (1982) asserted that women viewed moral issues using a long-term perspective (future ramifications) while men viewed moral issues using a short-term perspective (a given situation and its impact). Rather than decide how a given individual might respond to a moral dilemma, women tended to assess how society needed to respond to the moral dilemma. Women's awareness of the interconnections of individuals promoted a sense of responsibility for others. These insights were central to an ethic of care. Men's awareness of individual rights promoted a sense of justice for self. When assessing moral dilemmas, women located themselves by their connections in the world, by how their actions could help society, and by how such help developed ties to others. Men located themselves by their position in the world and by setting

themselves apart from others through their skill sets, beliefs, and physical characteristics. Women viewed caring and responsibility as a response (an action) that was inclusive of everyone's needs rather than a limitation to action.

Gilligan (1982) asserted that moral decision-making was about making choices and accepting the responsibility for those choices. Women's appearance of reluctance to make decisive decisions regarding moral dilemmas stemmed from their uncertainty about their right to make moral statements, as well as the personal and professional cost of making such judgments. The central moral problem for women resulted from the conflict between the self and others. In childhood, girls progressed through the transitional phase where they focused on survival by caring for the self. As they transitioned, girls made the connection between self and others, which taught them the concept of responsibility. Girls could not progress through this stage until they realized the self was just as important as others. Disequilibrium was created when girls in the transitional phase believed others were more important. Disequilibrium pushed girls toward the next phase. The conventional phase followed this transitional phase as girls matured to young women (adolescence) and focused on conformity of care. Transformation from confusion between self-sacrifice and care of others resolved the feelings of inequality between self and others. Girls, therefore, embarked on the process of reconsidering their focus on relationships. Transformation into the third phase allowed young women to focus on relationship dynamics. As they reconciled the conflict between taking responsibility and feelings of selfishness related to a focus on the self, a new understanding of the interconnectedness between others and self immerged. Care became the self-chosen

principle focusing on concerns with relationships and response while becoming universal in the condemnation of exploitation and hurt. This ethic of care was informed by differentiation of self and others with an enhanced awareness of social interactions, which resulted in the central insight that self and others were interdependent. Care enhanced both others and self.

Gilligan (1982) summarized her research by noting that a shift from the initial phase (transitional) was a shift from selfishness to responsibility and social participation. Moral judgments relied on expectations and shared norms. During the initial phase, society imposed moral sanctions on the individual. The second phase (conventional) marked a shift toward responsibility with a focus on others. The self was seen to be of value based on its ability to protect and care for others and its focus on caring for everyone without harming anyone (goodness). The conflict arose when the realization that someone might be harmed was illuminated and the self had to determine who would be that victim. Self-sacrifice now balanced harm to others with the caveat that the self could not help others if it was significantly harmed. Finally, transitioning to the final phase occurred with a shift from goodness toward truth. Responsibility and concern for others were still paramount with a new imperative toward honesty. An honest self-awareness focusing on intentions and actions of the self rather than on others' perceptions of these actions emphasized the realities of the self's intentions and the inherent consequences of any actions or inactions taken. A return to survival occurred as the individual refused to sacrifice herself for the benefit of others. A new definition for what constituted care was accepted. The principle of not creating harm allowed the self and

others to be seen as equals, components included in the compact of care. The reality that choices of care were always going to affect others promoted transformation toward this reality and an acceptance of the choices that indicated who was helped and who might be harmed by those choices. The acceptance of the universality of the need for kindness, caring, and compassion was incorporated into universal principles and the definition of the self.

Thomas (1997) noted that Gilligan was a colleague of Kohlberg at Harvard University where she studied his theories and that she objected to the assumption that moral development was solely about moral rules of justice and the application of those rules. She viewed these as typical male judgments that failed to account for the differing moral decisions of mature women. Gilligan believed compassionate care was an appropriate guide to moral decision-making. Gilligan's later work interpreted the differences between a justice orientation and a caring orientation not as a gender struggle, but as an individual struggle (for both genders) between focusing on equal rights and objective fairness (justice) or empathizing with the plight of others (caring). Most individuals resolved this conflict in favor of a justice orientation or a caring orientation, but rarely were they able to balance both orientations simultaneously. Gilligan's greatest contributions were her focus on compassion as a significant moral virtue, her focus on the different voice of women, and the impact her perspective has had on the impact of moral development discourse.

Rich and DeVitis (1994) asserted that Gilligan challenged Kohlberg's moral development theories when she claimed women, whose voices were not represented in

Kohlberg's research, had a language of care that underscored responsibility and avoiding harm toward others. While women spoke with a voice of caring and interpersonal responsibility, Gilligan framed men as speaking with a voice of justice and a focus on individual rights, liberties, duties, and resolution of disputes. Such a focus was common in Western cultures where individualism was a hallmark.

According to Rich and DeVitis (1994), Gilligan's theory posited that women followed a fluid growth sequence focused on an ethic of care. Initially, girls focused on ensuring their own survival by focusing on the self. In later childhood, young women transitioned into a phase where they felt a need to be critical of a self-focus, viewing it as selfish and self-centered. Finally, as women grew into maturity, they focused on the concept of responsibility as a way of viewing the connections between self and others. When Kohlberg's standards of moral development were used rather than Gilligan's, women were viewed as having an underdeveloped moral development. The interpretation of the women's development was based on a male standard of justice rather than a female standard of care. Gilligan challenged Kohlberg's moral development model because it equated adulthood with a justice perspective and maturity with separation, self-sufficiency, and independence, which were viewed as masculine and, therefore, unfeminine.

According to Rich and DeVitis (1994), Gilligan studied male and female adolescents and adults and found that both justice and care were of concern when analyzing moral conflicts, with either care or justice being chosen, but rarely both. Such

choices suggested two voices, each viewing the world in a different way, with neither being gender-specific, but both being gender-related due to socialization processes.

Rich and DeVitis (1994) noted that Gilligan did not interpret dependence within the care perspective as being synonymous with helplessness, lack of control, or powerlessness. Dependence, according to Gilligan, connoted the self having an effect on others, while recognizing that interdependence empowered both the self and others. Being present, actively listening, being understanding, and helping others indicated an interest in others beyond self-interest, which were all activities of care. Gilligan felt her three phases of growth corresponded to Kohlberg's preconventional, conventional, and postconventional levels. Perhaps Gilligan's most significant contribution to the study of moral development was her challenge to Kohlberg's dominant masculine paradigm and the lack of the feminine voice in his studies. Her inclusiveness and welcoming of the feminine voice (care) and the masculine voice (justice) as separate but valid perspectives had expanded Kohlberg's vision of moral development.

Martin L. Hoffman (1924 -)

Rich and DeVitis (1994) reported that much of moral development research focused on cognitive development. Hoffman, however, focused on the affective domain and studied how empathy played a role in moral action. Recognizing that moral dilemmas were truly moral conflicts between one's own interests and the interests of others, Hoffman felt that empathy and sensitivity to the rights and welfare of others were central to resolving such moral conflicts. Empathy, an affect, was a stimulus for moral action. Moral conflict created an imbalance between egoistic motives and feelings of

obligation to others. Moral action was the attempt to create balance between the ego and its motivation. Moral affect, often associated with empathy, was the positive experience resulting when the feeling of acting morally was felt. Moral affect, however, could also be the negative feeling felt, expressed as guilt or other negative experience resulting when one had acted immorally.

Rich and DeVitis (1994) found that Hoffman concluded that empathy was an affect with a cognitive component. Drawing upon self-knowledge and knowledge about others (cognitive), individuals empathized (affective) based on the perception of how the other individual felt. Hoffman identified four levels of empathic development: global empathy, egocentric empathy, empathy for another's feelings, and empathy for another's experiences beyond the immediate situation. Global empathy referred to babies' arousal cues felt prior to the developmental stage where they viewed themselves as distinct from others. Babies at this stage would personally perceive empathic distress when they sensed others were in distress. Egocentric empathy referred to one-year-old children's arousal cues felt as a result of viewing others around them as physically distinct from themselves. At this time, children would transfer their own personal feelings of distress to others. Empathy for another's feelings generally emerged with two- to three-year-old children when they were able to discern that others existed and had their own separate needs and wants. These children could empathize with those in distress and even those not wishing any assistance in their distress. Finally, empathy for another's life condition emerged late in childhood when children were able to discern between their feelings and other's feelings, differing needs and perceptions, and the understanding that distress

could be related to current situations, as well as future situations. Children at this level were capable of conceptualizing other's distress or deprivation, allowing them to understand the social constructs of disadvantaged, disabled, homeless, or poor. They were able to generalize this cognitive construct across groups or classes of people. How they interpreted and defined these levels of distress or deprivation determined the amount of empathy felt for that group or class.

Rich and DeVitis (1994) asserted that Hoffman referred to guilt not as a conditioned anxiety response to punishment, but as an interpersonal feeling of guilt that emerged from an awareness of harming others. Parents, teachers, and other authority figures reinforced acting differently based on feelings of guilt learned and felt as a result of socialization processes. Through the socialization process, children learned to experience various emotions, which they could then identify and interpret in others. Through a focus on these internal states (emotions) in others, children's sensitivity to pain or harm caused by others or to others was developed. As they learned to imagine other's pain or distress, they learned to empathize with that pain or distress. As children engaged in cognitive role-playing that allowed them to imagine themselves as the other, they expanded their capacity for empathic development. Children who had their needs met by the authority figures around them tended to have a greater capacity to focus on other's needs rather than their own. Finally, children who had role models who openly expressed their feelings of empathy toward others and who engaged in prosocial behaviors tended to have higher empathic responsiveness toward themselves and others.

Rich and DeVitis (1994) specified that Hoffman believed that empathy could be aroused not only by self or others, but also by moral principles. Inattention to the human component could lead some individuals to view moral principles impartially, which would reduce feelings of empathy. Hoffman, however, felt the association of moral principles to other's pain or suffering could arouse empathy. When a moral dilemma occurred, therefore, the cognition of the moral principle would arouse appropriate levels of empathy, causing a hot cognition. Hot cognitions occurred when moral principles, empathic affect, and life experiences of self or other's were violated. When moral violations occurred, retrieval of hot cognitions from memory enhanced a focus on moral principles if associated with human suffering.

Rich and DeVitis (1994) concluded that Hoffman did not discern between lower moral principles or higher moral principles in his work. He did not show how children learned to achieve a proper balance between self and others so that empathy would be appropriately used. Hoffman's theories did not relate to a morality of justice or a morality of duty like Kohlberg's model. However, theories of empathy related well with Gilligan's morality of care.

Hoffman (2000) had chosen to study prosocial moral behavior as a function of people's consideration for others in a world of competitive individualism where even the most caring people tended to revert to self-interests when the going got tough. Yet people did make big sacrifices for others. Prosocial moral development research focused on what influenced the decision-making toward self-interest (egoistic needs) versus beyond self-interest (social obligation). Socialization, through parental and peer

pressures, compelled children to realize other's needs, cognition enabled children to understand another individual's perspective, and empathic distress and guilt motivated them to focus on others' needs and perspectives.

Hoffman (2000) focused on the emotional and motivational development of moral development. He believed empathy was the key to human concern for others. Empathy contributed to moral emotion, motivation, and behavior. Hence, he studied empathy development, guilt, and moral internalization. Empathy contributed to moral development's principles of caring and justice while resolving any conflicts between them. Empathy contributed to the development of moral principles and moral judgment. Hoffman's primary focus was *caring morality*, which focused on consideration for others.

Thomas (1997) noted that Hoffman believed empathy was the central concern in moral growth. If individuals were unable to feel an empathic reaction to another individual's distress, their moral growth would be inhibited. Empathy related to moral growth was only one dimension of moral development research, which was one dimension of personal development. Personal development encompassed cognitive, emotional, social, and moral development. Hoffman's contribution to moral development included an understanding of how empathy might facilitate feelings of anger directed at the cause of the distress (identified the cause). Then empathy might redirect guilty feelings based on failure to alleviate the distress (recognized a need for action). Finally, empathy might enhance understanding and acceptance of feelings of injustice related to the way another individual had been treated (impetus for action).

Thomas (1997) noted that Hoffman distinguished between sympathy and empathy in his theory. Sympathy was an individual's feelings, by extension, of the other individual's distress and the desire to alleviate that stress. The distressed individual's feelings did not become a part of the observer's feelings. Empathy, on the other hand, referred to an individual personally feeling the same levels of distress that the distressed individual felt.

Hoffman (2000) asserted that individuals cognitively identified empathic distress in others and, depending on the stage of moral development, acted according to this identification. As individuals identified empathic distress, they analyzed causation and attributed various meanings and causes related to the distress identified, which resulted in four empathy-based moral effects that shaped the empathic distress: sympathetic distress, empathic anger, empathic feeling of injustice, and feelings of guilt based on perceptions of inaction. First, sympathetic distress resulted when individuals determined that the cause of the distress was beyond the victim's control. Sickness, accidents, and acts of God were often defined to be beyond individual control. Second, empathic anger resulted when another person, other than the victim, had caused the distress. Empathy with the victim's anger or disappointment and anger at the culprit underlay the empathic anger. Even when victims did not express anger, others could feel empathic anger anyway. Third, an empathic feeling of injustice resulted when there was a perceived discrepancy between a victim's character and a victim's reality. An empathic feeling of injustice resulted when good people had bad things happen to them. Fourth, guilt over inaction resulted when either individuals failed to help or their efforts were ineffective.

Feelings of continuing distress on the victim's behalf, even against insurmountable odds, often overwhelmed individuals who had tried to assist, leaving them with feelings of guilt over inaction. If individuals blamed the victim, empathic distress levels were actually reduced, resulting in fewer prosocial behaviors.

Hoffman (2000) identified five stages in the development of empathic distress, which were necessary responses for moral development: (1) reactive newborn cry, (2) egocentric empathic distress, (3) quasi-egocentric empathic distress, (4) veridical empathic distress, and (5) empathy for another's experience beyond the immediate situation. When children developed an empathic and sympathetic distress response to other's pain or experience, their empathic arousal response had developmentally progressed.

Hoffman (2000) described five distinct modes of empathic arousal responses based on cues of distress from a victim or a situation. The first three were passive involuntary affective responses, preverbal responses that lasted throughout the individual's lifetime causing empathic responses. These responses were instantaneous, automatic, and required little or no conscious cognitive thought. The individual's own personal experiences could provoke a motor mimicry and afferent feedback response, a classical conditioning response, or a direct association of cues response. Motor mimicry occurred when a preverbal individual automatically (neurally) identified with the victim during face-to-face contact. A classical conditioning response ensured similar responses to similar human situations based on similar human feelings and affect. The direct association of cues responses occurred when the individual automatically identified with

the victim based on the individual's own past experiences. The final two responses, active voluntary effective, were considered higher order cognitive modes, categorized as mediated association responses and perspective-taking responses. Expressive cues from the victim or the situation in association with the individual's own past painful experiences were mediated by the cognitive analysis of information about or from the victim to create a mediated association response. When individuals contemplated the victim's feelings or how they themselves would have felt in the victim's situation, a perspective-taking response was occurring.

Hoffman (2000) realized that too much of anything could cause a different result than desired. When distress cues were so extreme, overwhelming, or continuous, empathic over-arousal occurred, which caused preoccupation with self rather than creating a focus on others. Terrorist acts such as the destruction of the New York Twin Towers or the Murrah Federal Building in Oklahoma were so egregious that empathic over-arousal focused individuals on self rather than the victims. Individuals with a commitment to helping others (therapists, parents, teachers), when empathically over-aroused, tended to intensify their empathic distress, which motivated them to remain focused on the victims to the point of prosocial action. Familiarity bias might limit prosocial action since individuals tended to experience empathic distress more for their own similar group (race, ethnicity, gender, sexual orientation) than other groups. Here-and-now bias might limit prosocial action to immediate situations rather than potential situations or future situations.

Hoffman (2000) determined that empathic distress alone was not always enough to motivate individuals to prosocial action; the presence of prosocial motives was also needed, which were developed from childhood when socialization processes influenced children to consider the needs of others and act upon this awareness of other's needs. Hoffman (2000) found that internal moral motives profoundly influenced guilt and moral internalization. By definition, these motives had a compelling, obligatory quality, came from the self (intrinsic), produced guilt when harm or potential harm might result, and promoted the needs of others over the needs of self.

Hoffman (2000) described prosocial hot cognitions as emotionally charged representations of moral principles integrated with empathy and motive. When individuals focused on moral principles and empathic affect was aroused, the empathic affect would have two important components: a stimulus-driven component and a principle-driven component. The principle-driven component (moral principle) would heighten or lower the effect on the intensity of the stimulus-driven component (victim's distress), which precluded empathic over-arousal. Limiting empathic over-arousal allowed individuals to maintain a moderate empathic affect across various situations.

Hoffman (2000) defined moral internalization as a "person's prosocial moral structure [that] is internalized when he or she accepts and feels obligated to abide by it without regard to external sanctions" (p. 9). A focus on others rather than on self-serving concerns that were autonomously derived from the self (internal) without regard to external pressures came from moral development that had evolved to a prescribed level of internalization. When individuals acted from moral internalization rather than

externalized pressure, an internal moral motive (prosocial motive) was influencing the individual's moral judgment.

Hoffman (2000) asserted that the transgression model was the typical moral encounter for empathy-based transgression guilt and moral internalization. Children's early socialization influenced this model greatly since it was presumptive of the individual intentionally or unintentionally harming another. Guilt and moral internalization affected how individuals reacted when they created harm for other individuals, when needs conflicted, or when individuals acted in a self-serving manner that created unintentional harm for other individuals. Guilt and moral internalization also functioned as prosocial moral motivators.

Hoffman (2000) contended that pre-adolescents learned about right and wrong. In adolescence, a more formalized introduction of moral principles occurred through socialization processes. If a strong moral code were to be developed, then adolescents would develop such a moral code through a process of active construction. Those who focused on caring or justice principles and who had internalized either or both of these principles would consider and act fairly toward others as an expression of their internalized principles. This level of moral internalization would affirm the self, the self's perceived duty to treat others fairly, and the prosocial actions taken as a result of such a moral code. Trigger events, particularly of extreme injustice, could solidify the connection between self, principle, and duty, which resulted in a sense of social responsibility. Hoffman (2000) felt "most mature, morally internalized individuals have empathy-charged caring and justice principles in their motive system" (p. 21). Sensitivity

to both caring and justice principles, vulnerability to empathic distress, and the ability to focus on multiple claimants and their caring-justice dilemmas enhanced moral development. Those with a strong sense of self who supported caring principles tended to strengthen their perceived obligation to act on principle.

Hoffman (2000) emphasized with the bystander model that individuals did not have to be physically present to feel empathic distress or to have empathy for another individual. The human ability to use cognition to imagine an individual's plight based on facts also allowed feelings of empathic distress based on reading about another individual's misfortunes or distress. Hence, the bystander model was not limited by the presence or absence of the individual (observer), but only by the individual's imagination. The bystander model represented the typical moral encounter resulting in empathy and empathic distress.

Hoffman (2000) asserted that empathy was congruent with the principles of caring, criminal justice (victim focus), and distributive justice (how society's resources are allocated). Individuals with a self-serving perspective would support self-serving principles. High producers would support self-serving principles of merit, while low producers would support such self-serving principles of need or equality. High producers with high empathy arousal would focus on the welfare of others rather than self-serving interests by supporting "merit regulated to prevent extreme poverty (need) and vast discrepancies in wealth (equality)" (pp. 14-15). Elevated instances of empathy could alter how individuals thought about distributive justice. A moral principle that was embedded with the concept of empathy could reduce conflicts between caring and justice

principles. Individuals who supported social justice (equality) had high empathy and a strong sense of justice.

Hoffman (2000) studied how humans would react morally to five universal moral dilemmas that encompassed the breadth of the prosocial moral domain. The five moral dilemmas were categorized as (1) innocent bystander, (2) transgressor, (3) virtual transgressor, (4) multiple moral claimants, and (5) caring versus justice. All five dilemmas caused the individual to focus more on the other person's situation than their own. The innocent bystander dilemma required that individuals witness another person in emotional, physical, or financial pain or distress; the resulting moral dilemma was the decision to help or not to help, and how individuals felt based on the actions they took or failed to take. The transgressor scenario had the individual consciously or subconsciously transgress against another through a fight or an argument. The moral dilemma, then, was the decision to harm another or to refrain from such harm, as well as managing any feelings of guilt afterward. In the virtual transgressor situation, the individuals believed (falsely) that they had harmed someone. The moral dilemma focused on the guilt associated with the belief of responsibility for harming another. During the multiple moral claimant dilemma, the individuals made a compelling choice between multiple others with conflicting interests. The moral dilemma focused on the reasoning behind whom to help and assessed any guilt associated with failing to help the others. Finally, the caring versus justice dilemma had the individuals again involved with multiple claimants, but also added the dimension of considering the multiple claimants versus moral principles such as rights, caring, or justice. Was any guilt associated with

choosing principles over people, or people over principles? The empathy necessary to manage effectively such moral dilemmas was aroused by the cues of distress coming either from the victim or perceptions of the situation.

Hoffman (2000) considered *caring* as a principle that encompassed considering the welfare of others and a concern for their well-being. Treating others with self-respect, helping those in distress, ensuring food and shelter, and avoiding the infliction of pain on others was considered caring. Hence, it was a philosophical ideal, an abstraction, a moral imperative, and a fundamental value. Ideally, it connoted consideration for others at all times. *Justice* as a principle encompassed the moral rightness of an individual's due and just treatment by others. Inputs that corresponded to equitable outputs in life were considered just. When conflicts of interest existed, the incorporation of fairness ensured justice. Justice included the right distribution of society's resources, rights of property ownership, and the allocation of punishments within the society. When caring and justice principles conflicted, individuals usually held one principle subordinate to the other while acting on the one perceived as most important.

Hoffman (2000) stressed that moral principles allowed individuals to decide which victim to focus on when multiple claimants existed and whether caring or justice principles should prevail. Principles transcended the situation by transforming victims into members of a larger group previously oppressed or marginalized. Most moral dilemmas involved individuals, which aroused empathy. Empathy activated moral principles (directly or indirectly), which influenced reasoning and moral judgment. Hoffman (2000) concluded with, "empathy can influence one's moral judgment of

oneself or of the other directly, or indirectly through the moral principles it activates" (p. 16).

Moral Development Discussion

Gilligan (1982) noted that women perceived moral issues from a different perspective. Chodorow (1974) added that, "feminine personality comes to define itself in relation and connection to other people more than masculine personality does" (pp. 43-44). Chodorow argued that gender differences did exist, but they were based on differing early gender experiences that allowed the female self to develop a sense of empathy, which the male self often did not develop. The female self emerged with a stronger connection to other's needs and feelings; a connection that was equivalent to identification with their own needs and feelings. Based on Western societal constructs, Gilligan (1982) noted that masculinity emphasized *separation* while femininity emphasized *attachment*; hence, men were often threatened by intimacy while women were often threatened by separation. When male researchers used separation as the benchmark for moral development, women were predominantly viewed as underdeveloped. In childhood, girls were taught to value relationships, foster empathy, and become sensitive to other's needs and feelings; boys on the other hand, were taught to value rules, governance, and dispute resolution tactics. Because of these different socialization processes, pubescent girls' and boys' interpersonal orientations had disparate focuses. Girls focused on others; boys focused on self. Horner (1972) found girls differed from boys on how they viewed competitiveness and how they approached competitive situations. Girls were socialized to understand that winning competitively, in

particular against boys, could lead to negative consequences, such as social rejection or loss of femininity. Sassen (1980) added that women understood the emotional costs to them of competitively winning at the expense of another. Miller (1976) also noted that women judged themselves based on their ability to care and defined themselves within the context of relationships. This non-focus on separation and individual achievement often extended into adulthood and was often viewed by society as a weakness rather than a human strength. Gilligan (1982) stressed that women's socialization emphasizing the importance of intimacy, relationships, and care was the critical delineation of psychological development based on gender.

Gilligan (1982) believed women experienced the greatest moral development during adolescence as they became more reflective and had greater life experiences that enhanced their abilities to interpret problems. She viewed this as the process of self-development. Female adolescents, focused on the need to avoid harm, found they were being silenced by this need. Over time, these young women came to fear that, silent or not, their voices would not be heard. Gilligan concluded, when women psychologically matured, they realized "responsiveness to self and responsiveness to others are connected rather than opposed" (p. 61), and these women knew themselves "as separate only insofar as we live in connection with others, and that we experience relationship only insofar as we differentiate other from self" (p. 63).

Gilligan (1982) repeatedly identified the female moral imperative as an exhortation to care with a sensitivity toward discernment of who needed this care. The mandate to impede harm and alleviate harm's consequences for the world was strong.

The male moral imperative was an injunction to respect others, protect one's right to life, and protect one's right to self-fulfillment. Men could be sensitized to the necessity for caring through multiple progressive experiences identifying the need for active responses to other's needs. Such a new awareness corrected the potential indifference of a morality of noninterference with a focus on the consequences of choice. Compassion and acceptance of others and their needs could be fostered when a focus on care was accepted. When women were asked about moral dilemmas that caused much harm, they repeatedly brought up issues of exploitation and harm. If ethics were abstracted from life, then the danger would be the blind sacrificing of people in the name of truth. Ultimately, caring had the greatest potential for overcoming conflicts in human relationships.

Kitwood (1990) asserted that due to socialization, women were primarily focused on connectedness, relatedness, and closeness to others, which influenced their moral feeling and understanding. Prioritizing between the needs of the self and the needs of others could cause difficulties. Lauterbach and Weiner (1996) found women were more compassionate toward subordinates. Barlow, Jordan, and Hendrix (2003) found that women tested significantly higher for the character traits of selflessness, integrity, competency, and spiritual appreciation based on their moral development.

Theoretical Highlights of Moral Development

Gilligan (1982) said Kohlberg interpreted women's moral reasoning as being deficient because women's reasoning processes did not follow men's reasoning processes. Kohlberg said women who were willing to enter the traditional arena of male

activity would quickly realize how inadequate female reasoning was and would turn toward male reasoning as the norm. Hence, a woman's focus on care and the needs of others characterized a deficiency in moral development. Kohlberg's stages of moral development emphasized the masculine emphasis of competing rights and its resolution (rules, governance, and dispute resolution) rather than care and responsibility (relationships, connections, and maintenance of relationships). The morality of rights emphasized separation with the individual as the focus, while the morality of responsibility emphasized connection with the other as the focus. Men focused on individual rights and independently (only using their own reasoning) determined what was right; women tended to focus on collective rights and dependently (using the viewpoints of others) determined what was right. Riker (1997) noted that Gilligan posited that justice-orientations and care-orientations must be interwoven into the concept of mature moral development. Women could learn to ground themselves in personal integrity rather than sacrificing the self while identifying with the other. Men could learn the importance of intimacy, relationships, and the activities of care. "When both genders can hear and speak with both voices, humans will be fuller, happier beings" (p. 117).

Rest, Narváez, Bebeau, and Thoma (1999) summarized Kohlberg's core ideas as an emphasis on cognition, the individual's construction of moral epistemology, the sequential progression of moral development, and the importance of a shift from conventional to postconventional thinking. Kristiansen and Hotte (1996) discussed the orientations of justice and care. The moral decisions of justice-oriented individuals (stage 5) were not situational like care-oriented individuals. Justice-oriented individuals

based their decisions on principles without regard to the nuances of the situation. Care-oriented individuals assessed each situation, analyzed that specific situation to the principles of care, and based their decision on these contextual cues. Therefore, care-oriented individuals would be expected to have less consistency of decision-making than justice-oriented individuals.

Significant Moral Development Concepts

Several significant moral development concepts are discussed. Values, virtues, character, empathy, hope, optimism, resiliency, self-efficacy, and agency are identified. Finally, concepts that motivate individuals toward moral behaviors, such as motivating values, ethical philosophies, and moral action are analyzed.

Values

Schwartz (1992) observes that values are normative standards for behavior or for the evaluation of behaviors. Schwartz (1994) defines values as desirable transitional goal that vary in importance and serve as the guiding principles in the life of an individual or social entity. Therefore, values serve the interests of social entities and use emotional intensity to motivate. Values also justify actions, as well as support the thesis that values are internalized through the learning and socialization processes. Schwartz's (1999) definition of values includes "conceptions of the desirable that guide the way social actors (e.g., organizational leaders, policy-makers, individual persons) select actions, evaluate people and events, and explain their actions and evaluations" (pp. 24-25). Reed (1996) defines values as "diverse patterns of regulation entered into by all persons in a given environment and incorporated into their thoughts and actions" (p. 1). Michie and

Goody (2005) determine that values are thoughts, while emotions are feelings. Rokeach (1979) defines values as the enduring belief that certain conducts (end states) are more desirable than others and are abstract ideals representing beliefs regarding modes of conduct or ideal end states.

Schwartz (1994) categorizes values along a higher-order bipolar dimension from self-enhancement to self-transcendent. Values of achievement, power, and hedonism are associated with a focus on self-enhancement. Values of benevolence (concern for immediate others) and universalism (concern for the welfare of all) are associated with a focus on self-transcendence. Benevolence can be expressed through honesty, responsibility, and loyalty, while universalism can be expressed through equality, social justice, and broadmindedness. Individuals who focus on self-enhancement will experience a values conflict if they try to focus on self-transcendence.

Ros, Schwartz, and Surkiss (1999) report that values fall within a continuum from the self-enhancement values of hedonism, power, and achievement toward modal values of honesty and equality, then toward self-transcendent values (end values) of universalism and benevolence. Burns (2003) said, "the pursuit of happiness must be our touchstone. As means and end, it embodies the other transforming values – order, liberty, equality, justice, community" (pp. 214-215). Gardner et al. (2005a) used Burns' (1978) classification of transcendent values rather than modal values. Modal values are frequently occurring values with the emphasis on *the means over the ends*, while end (transcendent) values are transcendent or beyond frequent with the emphasis on *the ends over the means*. Modal values include honesty, responsibility, fairness, and honoring

one's commitments. Transcendent values include liberty, justice, equality, and collective well-being.

Virtues

Park and Peterson (2003) define moral virtues as "general styles of behavior evident in thought, feeling, and action that develop over time and are displayed or are not in accordance with the situation broadly construed" (p. 33). McCullough and Snyder (2000) define virtues as psychological processes that influence thought and behavior by focusing on benefits to the individual and society. Hannah et al. (2005) maintain that virtues are simply the exercise of moral agency. Peterson and Seligman (2004) list the six core virtues as courage, wisdom, temperance, humanity, justice, and transcendence.

Character

Lickona (1991) describes character as a series of operative values (values in action). When values transcend into virtues, leaders have accepted their value system as an intrinsic system of responding in a morally good way (virtuous action). Moral maturity occurs when leaders develop character that integrates knowing the good (moral knowing), desiring the good (moral feeling), and doing the good (moral action). This integration of the habits of the mind and heart into action personify moral development. Moral knowing allows leaders to know when moral judgment is required. Moral feeling allows leaders to embrace a deep concern for doing the right thing. Finally, moral action is predicated on a deep feeling about acting in the right way and requires the presence of moral knowing and moral feeling.

Peterson and Seligman (2003) maintain that personal values are considered character strengths. Based on personality psychology and contemporary trait theory, character is recognized as individual differences that are general and stable, and shaped by the individual's experiences. Therefore, character is capable of change and development.

Peterson and Seligman (2003) developed a classification system for defining character known as the *Values in Action (VIA) Classifications of Strengths*. Character strengths were identified as wisdom and knowledge (cognitive strengths), courage (emotional strengths), love (interpersonal strengths), justice (civic strengths), temperance (strengths that limit excesses), and transcendence (strengths with a universal focus). Wisdom and knowledge included creativity, curiosity, judgment, intellectual curiosity, and perspective. Courage included bravery, diligence, integrity, authenticity, and enthusiasm. Love included intimacy, kindness, altruism, social intelligence, and generosity. Justice included citizenship, loyalty, teamwork, fairness, equity, and leadership. Temperance included forgiveness, mercy, modesty, humility, prudence, and self-regulation. Finally, transcendence included an appreciation for excellence, gratitude, hope, optimism, playfulness, humor, spirituality, and a sense of purpose. Lickona (1991) posited that character was doing the right thing despite external pressures to the contrary. Barlow et al. (2003) asserted that character began forming early in life based on religious beliefs, parental influences, and early childhood trigger events. Character continued to form throughout adulthood. Abshire (2001) supported the concept of professional trigger events influencing character development.

Empathy

Gibbs (2003) posits that empathy has its limitations in a moral development model. To counter these limitations, moral principles can be incorporated into development once mature levels of empathy have been attained. Moral principles serve to regulate and optimize levels of empathic distress by providing structure, stability, and longevity to the empathic response. Empathic overarousal and underarousal are mediated by accepted moral principles. Engler (2006) notes the importance of empathy. When individuals can understand the other's internal frame of reference, they can communicate this understanding with statements that reflect the other's feelings. Empathy allows the other to accept that they are understood. This enhances moral understanding for both individuals.

Hope

Snyder, Irving, and Anderson (1991) define hope as "a positive motivational state that is based on an interactively derived sense of successful (1) agency (goal-directed energy) and (2) pathways (planning to meet goals)" (p. 287). Agency is the willpower to achieve goals. Pathways (waypower) refers to the ability to find ways to accomplish goals or develop creative alternatives for accomplishment, even in the presence of obstacles to accomplishment. Youssef and Luthans (2005) maintain the higher the individual's levels of hope, the higher the levels of self-efficaciousness. The more hope, the greater the willpower and waypower. The greater the willpower and waypower, the greater the perception of capably employing one's assets and values while managing risk

factors to enhance goal attainment. Maddux (2002) concludes that a sense of agency and waypower facilitate internalizations that develop self-efficacy.

Optimism

Seligman (1998, 2002a, 2002b) introduces the concept of optimism, asserting that optimism is a healthy construct with the potential for misuse (pollyannaism), which will lead to an unhealthy use of the construct. Those who use optimism as a positive explanatory style attribute positive events to personal, permanent, and pervasive causes. Meanwhile, they attribute negative events to external, temporary, and situation-specific causes. Optimism is related to authentic happiness, satisfaction, success, and health. Individuals who strive to fulfill their every whim in search of meaning lack optimism. Those who focus on fulfilling meaning beyond the self possess more optimism. Youssef and Luthans (2005) believe that higher levels of optimism lead to higher levels of self-efficaciousness. Seligman (1998) asserts that the self uses optimism as a buffer against learned helplessness or depression. Youssef and Luthans (2005) note that the development of an optimistic explanatory style occurs when individuals legitimately attribute positive events and successes to personal, permanent, and pervasive causes, which boosts the impact of the individual's assets and values while buffering the impact of risk factors on self-efficacy.

Resiliency

Youssef and Luthans (2005) note the importance of the personal attribute of resiliency, which refers to "those able to survive, adapt, swiftly bounce back, and flourish despite uncertainty, change, adversity, or even failure..." (pp. 303-304). Luthans (2002a,

2002b) stresses the significance of the power of a positive orientation and approach, such as being resilient. Luthans and Avolio (2003) include resilience as an attribute of the self-awareness dimension. Youssef and Luthans (2005) view individual resiliency as being dynamic, open to change, and open to development. Hence, resiliency can be developed further through self-awareness.

Masten and Reed (2002) identify three strategies for resiliency development: risk-focused strategies, asset-focused strategies, and process-focused strategies. Risk-focused involves analyzing, understanding, and avoiding risks and stressors that have a high probability of negative outcomes. Asset-focused involves analyzing and utilizing effective adaptive processes that have a high probability of positive outcomes. Finally, process-focused requires the mobilization of the self's adaptive processes.

Youssef and Luthans (2005) notes that high levels of resiliency serve to buffer and enrich individuals' lives, which increases the probability of feeling a sense of fulfillment and success in life. Resiliency is a life-long journey that develops competence in the face of adversity. Individual antecedents that contribute to development include assets, risk factors, and values. Assets refer to personal characteristics, temperament, self-regulation, emotional stability, backgrounds, insights, perceptual biases, educational levels, strengths, and vulnerabilities individuals acquired over a lifetime. Risk factors include alcoholism, drug use, poor health, undereducation, unemployment, underemployment, exposure to traumatic events or violence, stress, burnout, and personal traumatic experiences. The higher the assets and the lower the risk factors, the more resilience develops. Finally, values and beliefs provide a powerful source of meaning in

life. Values can be used to interpret meaning from negative events that can then promote the development of higher levels of resilience. The stronger the values, the more stable the source of meaning to the individual. Also, the more innately these values are embedded into the individual's framework, the higher the levels of resiliency developed.

Self-Efficacy

Bandura (1997, 2000, 2001) notes that self-efficacy is a mediator to resiliency's antecedents of assets, risk factors, and values. Self-efficacy is the intrinsic assurance an individual has that they are willing, able, and dedicated to acting upon challenging endeavors and persevering through any challenges that might arise. Self-efficacy is developed through mastery experiences, vicarious learning, social persuasion, and psychological and physiological arousal. Youssef and Luthans (2005) posit that self-efficacy mediates assets, risk factors, and values by predicting higher success rates, higher levels of social capital attainment, greater probability of access to relevant mentors, and greater levels of social persuasion as developed by the individual. Finally, "stable values and a sense of meaning and purpose are likely to increase leaders' acceptance of challenges, effort to achieve goals, and persistence when faced with obstacles, i.e., their self efficacy" (p. 320). Krueger and Dickson (1993, 1994) assert that less self-efficacious individuals focus on avoiding risks, while more self-efficacious individuals focus on opportunities that further their purpose or mission. Youssef and Luthans (2005) document that self-efficacy has the greatest direct impact on the development of resiliency; thereby, an important impact on the development of authenticity.

Agency

Bandura (2001) defines agency as the capacity to improve quality of life by exercising control over the environment. A high sense of agency is expressed when individuals exercise their capacities of intentionality, forethought, self-reactiveness, and self-reflectiveness. Intentionality stresses the conscious intentional exercise of agency. Forethought refers to thinking ahead and analyzing consequences before taking action. Self-reactiveness refers to being self-motivated and self-regulated. Finally, self-reflectiveness concerns the internal process of reflecting upon the perceived competence of the thoughts and actions of the self. Bandura (1991) includes the concepts of refrain power and proactive power to agency. Refrain power is the ability to refrain against acting immorally while proactive power is the proactive ability to behave morally. Hannah et al. (2005) maintain any moral behavior not supported by genuine virtue and altruism will be considered inauthentic moral behavior, which will inhibit a sense of agency.

Motivating Values

Hannah et al. (2005) note that moral leadership development occurs when individuals have a highly developed self-concept while using heightened levels of meta-cognition and emotional regulation. These cognitive strategies help to analyze and implement ethical moral solutions to various situations.

Schwartz (1994) studied which values tended to motivate decision-making and action. He identified 10 separate motivating values: power, achievement, hedonism, stimulation, self-direction, universalism, benevolence, tradition, conformity, and security.

Power motivated through the use of prestige, social status, and the ability to dominate people and resources. Achievement motivated when competence was demonstrated, which led to a perception of personal success. Hedonism motivated when sensual gratification and personal pleasure were sought. Stimulation motivated based on the perceived novelty, which led to excitement and perceptions of challenges in life. Self-direction motivated based on the perception of choosing, creating, and exploring, as well as the independent thought and action required to choose, create, and explore. Universalism motivated based on the understanding, appreciation for, acceptance of, and focus on the protection of the welfare of people and nature. Benevolence motivated based on the desire to preserve, protect, and enhance the welfare of those people closest in proximity. Tradition motivated based on perceptions of respect, commitment, and acceptance of traditional ideas and custom, which often were based on religious constructs and/or cultural roles. Conformity motivated based on the restraint of impulses, inclinations, and actions that would violate societal norms. Finally, security motivated based on stability, safety, and perceptions of harmony within the relationships with self, others, and society. Motivating values focused attention on related ethical philosophies.

Ethical Philosophies

Richardson and White (1995) noted six universally recognized ethical exemplars: egoism, self-realization, natural law, divine command, deontology, and consequentialism. These philosophies came to prominence in the times of Aristotle and Plato and then were philosophically grounded in the social consciousness by other adherents throughout the ages into modern times.

Richardson and White (1995) describe the six philosophies. Egoism refers to those who make ethical decisions based on always acting based upon their own perceived self-interest even at the expense of the well-being of others. Often the motivation is based more on long-term rather than short-term interests. The philosophy of self-realization refers to those whose aim is to act in whatever way will actualize their self-potential (self-actualization) with the understanding that their personal evolution will directly or indirectly benefit others. The philosophy of natural law refers to those who base their conduct upon their perceptions of the inherent order of the universe. The philosophy of divine command refers to those who base their decisions and actions on what they understand to be the *will of God*. They first have to determine the will of God, usually through scriptural revelation, church teaching, and direct illumination and then choose to follow this understanding. The philosophy of deontology refers to those who base their decisions and actions on their innate sense of secular moral duty with heavy emphasis on moral obligation (not God driven). The emphasis is on moral duty, which comes from their innate sense of right and wrong. Finally, the philosophy of consequentialism refers to those who base their decisions and actions on assessing the moral quality of the results (Good) likely to follow from various possible courses of actions (Right). The emphasis is on carefully calculating the Good sought, which will illuminate the Right (the course of action to take to reach the Good).

Richardson and White (1995) discuss three analytical constructs for categorizing ethical philosophies. Each exemplar can be categorized based on its focus: end-based, rule-based, or care-based. End-based ethics focus on decisions that result in the greatest

good for the greatest number of people based on what will actually occur because of this decision. Egoism, self-realization, and consequentialism are end-based ethical philosophies. Rule-based ethics focus on finding the one universal principle that should always apply in the given situation; therefore, anyone else in that same situation in the future can be confident using the same ethical principle for their decision-making. Natural law, divine command, and deontology are rule-based ethical philosophies. Finally, care-based ethics focus on putting oneself in the position of those who will be affected by the decision made before deciding which decision will support the right action to accomplish the sought after affect. Consequentialism is a care-based ethical philosophy.

Moral Action

Rest et al. (1999) describe the four psychological processes that lead to moral behavior in their four-component model: moral sensitivity, moral judgment, moral motivation, and moral character, which can be represented as follows in Figure 2.05 on the following page. They define moral sensitivity as the ability to identify a moral dilemma, decipher the variables, and understand the implications to self and others. An understanding of one's own intuition, emotional reactions, empathy, and role-taking is imperative to understanding how these affected others, which develops moral sensitivity. Moral judgment refers to deliberations that influence potential courses of action and the determination of which one is the most morally justifiable. Moral motivation refers to prioritizing moral values over competing concerns, committing to the chosen moral course of action, and accepting responsibility for the outcomes. Moral character refers to

the internal skills and strategies used to implement moral decision-making that promote moral actions and behaviors. These four inner psychological processes together promote moral action based on outwardly observable behaviors. As Walker (2004) notes, this model broadens the moral domain beyond Kohlberg's limited focus on moral reasoning by including the interdependent and interactive nature of behavior, thought, and emotion, which influences moral functioning.

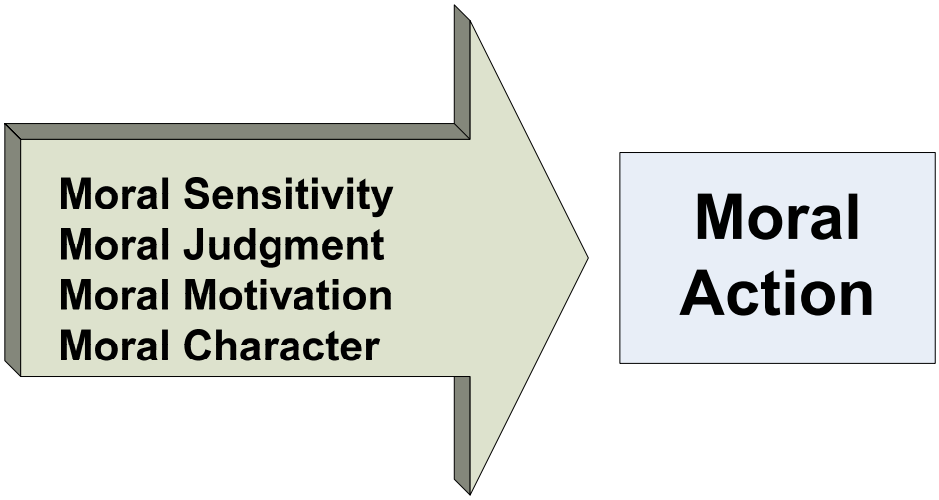

Figure 2.05. Meacham's representation of Rest's et al. (1999) Four Component Model for Moral Behavior

Summary

Moral development is a primary component of authenticity and authentic leadership. The dimensions of values, virtues, character, empathy, hope, optimism, resiliency, self-efficacy, and agency were discussed. Finally, motivating values, ethical philosophies, and moral action were analyzed.

Courageous Principled-Action

Worline and Quinn (2003) discuss courageous principled-actions, which simply are courageous behaviors chosen based on a strong ethically principled-standard. Brand (1984) feels that having certain beliefs, in and of itself, are not motivating enough to spur an individual to act on behalf of that belief. Frijda et al. (2000) posit that the inclusion of emotions to beliefs is a prime motivator that leads to action. Oakley (1992) and Schulman (2002) assert that the emotions of concern, gratitude, compassion, and courage can engage an individual to action. Frijda et al. (2000) indicates that emotions are prime motivators for spurring people toward action. Oakley (1992) and Schulman (2002) stress that knowing *the right thing to do* will not be acted upon unless there is an emotional response of interest, concern, gratitude, compassion, or courage. Oakley (1992) adds that emotional responses play an important role in acting upon value systems. Even other-directed values might not spur a person to action without an accompanying emotional response. The combination of emotional response and self-transcending values creates the moral integrity to act.

Thoreau (1993) "defined 'action from principle' as the enactment of what was 'right'" (p. 7). Hence, Worline and Quinn (2003) assert that principled-action are drawn from intuition, feeling, and knowledge that is both generalizable, as well as situated within the context of that institution. Courageous principled-action is never a part of the accepted routine or status quo. It is often difficult, opposed, and unpopular. Individuals who undertake courageous principled-actions are guided by their highest individual sense of moral values. Many scholars (Bell, 2002; Clemens, 1993; Miller, 2000; Worline,

Wrzesniewski, & Rafaeli, 2002) support the idea that individuals are not trapped by institutional culture. Individuals can and do act in accordance with what they think is right. Burns (2003) concludes that, "deep and durable change, guided and measured by values, is the ultimate purpose of transforming leadership, and constitutes both its practical impact and its moral justification. And *that* is the power of values" (p. 213).

Courage

Webster's New Universal Unabridged Dictionary (1996) defines courage as "the quality of mind or spirit that enables a person to face difficulty, danger, pain, etc., without fear" (p. 464). Finfgeld (1999) defines courageous behavior as those behaviors resulting in a sense of personal integrity and thriving because these behaviors are characterized by efforts to be productive, contribute, and help others.

Finfgeld (1999) determines that being courageous is a dynamic process. Finfgeld (1992, 1998, 2000) further notes that developing courage involves a lifelong learning process that begins in childhood and continues to develop through adulthood as perceived threats are managed. Finfgeld (1992) believes that strategies learned in early childhood inform the strategies used later in life. Finfgeld (1999) adds that courage lies within a continuum with noncourageous behaviors on one end and courageous behaviors on the other end with coping behaviors nestled in-between. Finfgeld (2000) notes that people acting courageously push themselves beyond the normally expected patterns of behavior for the perceived situation. They push beyond coping and toward the courageous. Finfgeld (1992, 1998, 2000) stresses that courage is a learned process, which is demonstrated within the context of a struggle. Long-term courageous determination

actually results in a perpetuation of the struggle. If courage is not exhibited, the struggle will desist (conclude) rather than persist. As Finfgeld (1998, 2000) notes the process of developing courage follows a circular path: the perception of threat is responded to with courage, which results in a sense of a courageous self. Finfgeld (1999) says, "over time, an intrapsychic awareness of one's courage...helps to sustain the capacity to be courageous" (p. 807). The courageous self that develops from sustained courageous behaviors has a strong sense of personal integrity and a strong sense of thriving rather than surviving.

Finfgeld (1999) establishes several intrapersonal and interpersonal factors that promote and maintain courage, which influences courageous development. Intrapersonal factors include having a purpose or mission in life, using values to promote and maintain courage, using values to help others, and using the perception of threat to clarify value systems. Hope and optimism promote and maintain courage, which develops self-confidence that supports the ongoing use of courage. Self-confidence allows the transformation of threats into manageable challenges that lead to decisions that promote courageous actions. Finfgeld (2000) adds that focusing on feelings of making a positive contribution through the courageous actions promotes and maintains self-confidence and courageous development.

Finfgeld (1999) describes the interpersonal factors that promote and maintain courage, which leads to courageous development. Interpersonal factors include observing role models who model exemplary behaviors, which include positively facing adversity, courageously acting above and beyond, and focusing on positive contributions

for society (other-directed). Gestures of support from respected individuals often help leaders to sustain courageous behaviors even when those leaders are psychically fatigued. Expressions of respect, admiration, validation, affirmation, and kindness often buoy the individual along their path of courageous behavior.

Worline and Quinn (2003) summarized by contending that individuals derive courage from their personal resources, their intrinsic sense of morality, and through the encouragement of others. The individual's ability to reason and act courageously is based on the individual's own internal, intuitive, emotional, and cognitive dimensions relating to their value system.

Moral Courage

Miller (2000) defines moral courage as "the capacity to overcome the fear of shame and humiliation in order to admit one's mistakes, to confess a wrong, to reject evil conformity, to denounce injustice, and also to defy immoral or imprudent orders" (p. 254). Through his research, he concludes that "moral courage is *lonely* courage. It often requires making a stand, calling attention to yourself, or running the risk of being singled out in an unpleasant and painful way" (p. 255). "The obstacles that oppose moral courage – derision, ostracism, loss of status, demotion, loss of job – are not trivial" (p. 258). Kidder (2005) adds "...moral courage may be a means whereby one overcomes fear through practical action" (p. 73).

Kidder's (2005) research posits "...courage grew out of an ethical commitment, a kind of inner moral compass calibrated by a set of core values" (p. viii). "Standing up for values is the defining feature of moral courage" (p. 3) since "...values count for little

without the willingness to put them into practice" (p. 3). Moral courage is always driven by principle (virtues and/or core values) where physical challenges and mental challenges must be met; "...moral courage ... lifts values from the theoretical to the practical and carries us beyond ethical reasoning into principled-action" (p. 3). Mackenzie (1962) concludes moral courage's greatest test comes when individuals take action based on conscience against the status quo and then stand up to the disapproval of others opposed to those actions.

Kidder (1994) researched the universal values that are cross-cultural and determined that eight separate core values kept surfacing, which he believed represented the highest rung on the visionary ladder. The eight core values included: love (compassion, caring, kindness, empathy), truthfulness (integrity, honesty), fairness (justice, social justice, equality), freedom (liberty, individuality, democracy), unity (solidarity, cooperation, oneness), tolerance (acceptance, support, respect), responsibility (self-respect, accountability, rights), and respect for life. Based on priorities expressed, the top six values in Kidder's 1994 survey were responsibility, compassion, honesty, respect, fairness, and courage. Through further research, Kidder (2005) compressed the list by priority to responsibility, respect, fairness, honesty, and compassion. Maslow (1970) included 14 spiritual values that he categorized as *being-values*, which included truth, justice, goodness, wholeness, and uniqueness. He asserted these spiritual values were the responsibility of humankind, not just religious institutions.

Ultimately, Kidder (2005) realized that moral courage took place at the intersection of individuals' strongly held principles, their awareness of the danger

inherent in the situation, and their ability to endure and persevere through the process of acting upon their moral courage. Ethical dilemmas that required moral courage were rarely transparent enough to be *right vs. wrong* situations. Kidder (1995) suggested strongly held values and principles were required to manage the typical ethical dilemmas, which fell into four paradigms based on right vs. right dilemmas: truth versus loyalty, individual versus community, short term versus long term, and justice versus mercy. Kidder (2005) stated "...the toughest decisions are not right vs. wrong but right vs. right. Determining which side has the higher claim to rightness often requires some deep ethical reasoning" (p. 87). Kidder (1995) concluded that justice (fairness, equity, even-handed application of the law) often conflicted with mercy (compassion, empathy, love). Short-term (now, immediate needs) often conflicted with long-term (then, future needs). Individual (us, self, the smaller group) often conflicted with community (them, others, the larger group). Truth (honesty, integrity) often conflicted with commitment, responsibility, and promise-keeping.

Kidder (2005) discusses how the awareness of danger influences moral courage "where danger is endured for the sake of an overarching commitment to conscience, principles, or core values" (p. 109). A proper assessment of risk is essential to determine accurate outcomes (consequentialist). Moral courage exhibited based on an underassessment of risk results in pointless self-sacrifice and imprudence. Moral courage exhibited based on an overassessment of risk results in perceptions of bravura, bluster, and rant. Therefore, individuals who accept moral risk are tolerant of ambiguity, exposure, and loss. Maturity and experience (self-regulation) foster the skill sets to read

the faint signals, penetrating the obtuse, and getting it right, which manages ambiguity. A willingness to be morally, emotionally, and cognitively open, unprotected, and vulnerable allays fears of exposure. Fear of loss can dampen the urge to act morally. Mortgages, tuition for children, and responsibilities for the elderly are significant obligations; morally courageous actions can endanger these familial obligations. Significantly, professionals risk the loss of their position, financial security, and career opportunities by speaking out.

Finally, Kidder (2005) understands strongly held principles and awareness of danger converge with individuals' abilities to persevere and endure through hardship. Maturity and experience often influence individuals' abilities to endure such hardship. Trust in knowing and benefiting from doing the right thing, as well as a lifetime of experience learning from succeeding and not succeeding, supersede self-will and blind determination. "A sense of trust is vital to morally courageous decision making" (p. 146) and morally courageous action. Cooper and Sawaf (1997) add, "the warm, solid gut feeling you get from trust – from counting on yourself and in trusting and being trusted by others – is one of the greatest enablers of life" (p. 84). Kidder (2005) concluded confidence in values, competencies, and the ability to apply these attributes to self and others enhances trustfulness, which supports the ability to endure hardships. Therefore, experience, character, faith, and intuition fostered trust, which leads individuals toward exercising morally courageous actions.

Kidder (2005) discusses multiple barriers to moral courage. Inhibitors include dysfunctional cultures, an overriding desire to be liked, timidity, foolhardiness, and a

focus on physical courage over moral courage. Other forces suppressing moral courage include, but are not limited to, the tendency to redefine deviant behaviors as acceptable, misdirected (manipulative) altruism, excessive reflection, bystander apathy, GroupThink, and reducing any obligation to help by valuing others differently.

Kidder (2005) notes several effective strategies for using moral courage to manage ethical dilemmas. Most ethical dilemmas are a matter of *right vs. right* dilemmas where individuals have to determine the higher right. The most commonly used principles include ends-based principles (consequentialism), rule-based principles (deontology), or care-based principles (compassion and reciprocity). Moral courage often involves one or two values, the elevation of one of these values over another, and a sense of obligation toward supporting or protecting that value, despite the possible consequences. Moral courage is more about deontology (sense of duty, rule-based) than consequentialism (focus on the outcome, ends-based). Conscience is the prevailing factor rather than consequences. "That commitment to core principles remains to this day a defining characteristic of moral courage" (p. 107).

Kidder (2005) asserts organizational culture shapes decision making by supporting the expression or lack of expression of moral courage. Fundamentally ethical cultures foster integrity, which creates trust that leads to sound ethical decision-making. Dysfunctional cultures create a need for moral courage while creating barriers to the communication of that very moral courage.

Kidder's (2005) research determined moral courage can be developed through discourse and discussion (self-awareness), modeling and mentoring (positive modeling),

and persistence (self-regulation) and practice (authentic action). "From educators to consultants, from writers to researchers, a consensus exists that people of all ages can benefit from instruction in this core value" (p. 230). "Women and men are by now equally adept at expressing (or failing to express) moral courage" (p. 155).

Kidder (2005) surmised that perhaps the linkage that connects principles, awareness of danger, and persistence to moral action is the decision to engage. In situations where two powerful moral arguments exist, "the role of moral courage is not to help us take a stand for right but to help us engage. It is to encourage us to step firmly up to the decision-making process rather than duck responsibility" (p. 251). "Failing to engage...is at times the worst kind of failure of moral courage. It's the sort of passive, do-nothing inertia" that allows evil to triumph over good (p. 252). "The moral courage needed to address these issues is the courage of engagement, the willingness to cut through all the reasons for inaction and step forward with determination" (p. 257). Hence, "...the willingness to take tough stands for right in the face of danger will remain, as it has always been, the pinnacle of ethical action" (p. vii).

Kidder (2005) discussed the six conditions required for morally courageous action, which also defines integrity: honesty, responsibility, respectfulness, fairness, compassion, and courage. Moral courage is the courage to be honest, fair, respectful, responsible, compassionate, and courageous, which is required to have "... a commitment to moral *principles*, an awareness of the *danger* involved in supporting those principles, and a willing *endurance* of that danger" (p. 7). Therefore, significantly, "moral courage, it seems, begets and replicates itself" (p. 130).

Miller (2000) concludes "standing up for what we think is right is not easy, but it may well get easier if we cultivate the habit of doing so" (p. 65). Kidder (2005) acknowledges morally driven individuals must assess the situation, scan for values, stand for conscience, contemplate the dangers, endure the hardship, avoid the pitfalls, and develop moral courage, which allows them to question the person, policy, or culture that supports unethical, illegal, or immoral situations.

Kidder (2005) posits morally courageous individuals have five attributes in common: greater confidence in principles than in personalities, high tolerance for ambiguity, exposure, and personal loss, acceptance of deferred gratification and simple rewards, independence of thought, and formidable persistence and determination. Individuals lacking in moral courage may hold the same core values, but act differently to defend these values because of their differing priorities. "It is perfectly possible for individuals to express these five core values vibrantly and profoundly within a small circle of family, friends, and community, while failing to extend them outward to a broader world" (p. 65). They do so because their moral boundaries include only those around them rather than all of humankind. Without sufficient levels of moral courage, courageous principled-actions will be nonexistent.

Courageous Principled-Action

Worline and Quinn (2003) state that individuals who use courageous principled-actions to defy institutional constraints do so based on their high level of moral development and (Bell, 2002; Worline et al., 2002) their emotional and intuitive sense of what is *right*. Appropriate behaviors based on what is normal and expected are framed

for individuals by the institution's culture. Clemens (1993), Giddens (1979), Orlikowski (2000), and Schein (2004) note, therefore, that leaders who take courageous principled-actions that violate this status quo base their actions on their individual values that competed with institutional values. Worline and Quinn (2003) explain that courageous principled-actions always require both courage and principle.

Bateman and Porath (2003) define transcendent behavior as "self-determined behavior that overrides constraining personal or environmental factors and effects extraordinary (positive) change" and "constructive, high-impact change" (pp. 122-123). Behavior is transcendent when it overcomes environmental pressures and personal limitations, thereby creating extraordinary change in the individual or institution. Transcendent behaviors are neither driven nor constrained by internal or external pressures. Unethical, immoral, or illegal behaviors are disqualified as transcendent behaviors.

Bateman and Porath (2003) note that individuals exhibit transcendent behaviors based on intrinsic motivation and personal goals. Ryan and Deci (2000b) define intrinsic motivation as "the inherent tendency to seek out novelty and challenges, to extend and exercise one's capacities, to explore, and to learn" (p. 70), while (Pinder, 1998) involving feelings of enjoyment, interest, challenge, and flow. Bateman and Porath (2003) add that these individuals turn crisis into opportunities, overcome obstacles, accept challenges others avoid, and create positive outcomes. McGregor and Little (1998) assert that personal goals are about creating major change or fulfilling important needs that lead to

personal growth, greater energy, and positive emotions, which Bateman and Porath (2003) assert lead to transcendent outcomes.

Bateman and Porath (2003) claim that transcendent behaviors are initially inspired by intrinsic motivation and goals; however, other variables influence success. Five predictors of successful transcendent behaviors include self-control, self-management, decision-making processes, positive cognitions, and held virtues. Transcendent behaviors are not possible without self-control and self-management. Muraven and Baumeister (2000) assert that self-control focuses on long-term interests through control of the self by the self, while constraining inappropriate urges, behaviors, or desires. Karoly (1993) uses self-management more broadly to indicate individuals' ability to direct their goals over time and across varying circumstances using processes of self-monitoring, goal-setting, discrepancy analysis, evaluation, and actions that reduce discrepancies between goals and progress. Ryan and Deci (2000b) understand that self-management enhances human achievement. Colarelli, Dean, and Konstans (1987) add that self-management enhances strengths and talents, which encourages personal growth while fostering well-being.

Bateman and Porath (2003) indicate that additional predictors of transcendent behaviors include mastery motivation, positive cognitions and emotions, self-efficacy, virtues held, and strategic planning skills. Winner (2000) posits that individuals who are motivated to master their talents, skills, and profession have mastery motivation. Their powerful interest, deep intrinsic motivation to excel, high energy levels, and intense focus strengthenes their self-management while promoting extraordinary performance with

attendant outcomes. Bateman and Porath (2003) suggest individuals with a strong mastery motivation will enhance personal growth and transcendent performance, which will probably lead to sustainable outcomes. Positive cognitions and emotions increase persistence toward transcendent outcomes. Carver and Scheier (1985) define optimism, a positive cognition, as the expectation of favorable outcomes that support persistence during difficult situations, which promotes transcendent outcomes. Schulman (1999) asserts that optimism transforms thinking, assists with maintaining confidence, and allows individuals to persist and rebound from difficulties.

Bandura (1982) defines self-efficacy as the personal perception of how well one can take effective actions that manage situations appropriately. Luthans (2002a, 2002b) feels that self-efficacy is the most important psychological mechanism for positivity, which has a major influence on the success of transcendent behaviors. Finally, virtues held also influence transcendent behaviors.

Bateman and Porath (2003) believe virtues or moral excellences, such as wisdom, empathy, passion, courage, compassion, positive deviance, and resilience enhance transcendent behaviors. Baltes and Staudinger (2000) define wisdom as a focus on excellence while attending conjointly to personal and collective well-being, which requires a coordinated and balanced interplay of intellectual, affective, and motivational aspects of human functioning. Hoffman (2002) defines empathy as the cognitive awareness of another individual's plight and the vicarious affective response to that plight. Perttula (2004) asserts that passion for work is characterized by positive emotions, intrinsic motivation, and a desire for full engagement. Webster's New

Universal Unabridged Dictionary (1996) defines courage as the state of mind enabling individuals to face dangers or conflicts without fear. Frost, Dutton, Worline, and Wilson (2000) define compassion as allowing feelings to guide behaviors in response to other individuals' distress. Spreitzer and Sonenshein (2003) define positive deviance as extraordinary norm-breaking behaviors that promote well-being. Finally, Sutcliffe and Vogus (2003) define resilience as "the capacity to rebound from adversity strengthened and more resourceful" (p. 97).

Individuals effective with strategic and tactical decision-making facilitate transcendent behaviors. Langer (1989) asserts that mindfulness (considering and creating new possibilities) facilitates the attainment of transcendent goals and outcomes by disengaging from past ways of thinking and behaving. Thoms and Greenberger (1995) include a future time perspective for effective decision-making that requires a long-term orientation toward thinking, planning, and behaving. Bateman and Porath (2003) conclude that a long-term perspective requires self-control, which enhances transcendent behaviors.

Bateman and Porath (2003) argue that transcendent behaviors result in personal growth, expanded personal capabilities, and subjective well-being. Seligman and Csikszentmihalyi (2000) suggest that subjective well-being allows individuals to view the past with contentment and satisfaction, experience happiness and flow in the present, and anticipate the future with hope and optimism. Bateman and Porath (2003) conclude that the temporal perspective of past, present, and future benefit, as well as enhanced broader positive outcomes, are what distinguishes other motivated behaviors from transcendent

behaviors. Bateman and Crant (1993) maintain that proactive behaviors are considered more transcendent than reactive behaviors. Kohlberg (1969) also suggested that self-determined decisions, rather than externally controlled decisions that maximized goals with a minimal cost to other goals, indicated transcendent behavior.

Bolino, Turnley, and Bloodgood (2002) believe that transcendent behaviors lead to trust, reciprocity, and cooperation while enhancing the individual's reputation, creating social capital, and supporting a positive professional environment. Bandura (2001) indicates that transcendent behaviors causes others to adapt to the newly created changes and associated pressures. Bateman and Porath (2003) surmise that many individuals do not engage in transcendent behaviors because of the extraordinarily high levels of self-efficacy, wisdom, empathy, passion, courage, compassion, positive deviance, and resiliency required.

Gibbs (2003) notes, "prosocial behavior is social action intended to benefit others without anticipation of personal reward, indeed, perhaps at some cost or risk to oneself" (p. 112) and is promoted when high levels of empathy put a *human face* on individuals or groups. Hoffman's theory asserts that empathy alone can goad individuals to prosocial behaviors. However, a sense of reciprocity (equality) can move individuals to take prosocial actions, as can a sense of justice. Ultimately, an empathic-orientation might be more morally beneficial than a justice-orientation.

Gibbs' (2003) research identified three requirements for moral prosocial behaviors. First, individuals must have a mature moral perspective before they can choose to engage in prosocial behaviors. Second, individuals' moral perspective must

coincide with a truthful reality (veridicality). Finally, individuals must have a strong sense of persistence to link with their mature and veridical moral perceptions. Only then, can and will they be motivated toward prosocial behaviors.

Cameron (2003) assert that positive deviance is a requirement for moving beyond the ordinary toward the truly extraordinary. Spreitzer and Sonenshein (2003) define positive deviance as "intentional behaviors that depart from the norms of a referent group in honorable ways" (p. 209). Norms support the status quo. The psychological conditions necessary to create a mindset strong enough to defy these norms included meaning, other-focus, self-determination, personal efficacy, and courage. Spreitzer (1995) defines meaning as a sense of deep caring related to what people do and how that matters in important ways. Without a personal sense of meaning, individuals will not utilize positive deviance. Wrzesniewski (2003) posits that individuals lack a desire to act unless they care deeply about something. Deci and Ryan (1985) assert that intrinsic motivation is not influenced by external factors, but it promotes resiliency during difficult times. Ryan and Deci (2000a) note that individuals are more apt to initiate new behaviors, seek out challenges, and extend their capacities when intrinsically motivated. Spreitzer and Sonenshein (2003) conclude that those individuals who have a strong sense of meaning based on intrinsic motivation are more likely to seek to make a proactive difference through their actions.

Warren (2003) identified eight types of positive deviance from the management literature. Tempered radicalism, counterrole behavior, whistle-blowing, principled organizational dissent, exercising voice, prosocial behavior, organizational citizenship

behavior, and functional or creative disobedience were all viewed as positive forms of deviance because they deviated from established organizational norms. Tempered radicalism was behavior that challenged the status quo. Counterrole behaviors were actions that opposed prescribed work-role behaviors. Whistle blowing occurred when illegal, immoral, or illegitimate practices were disclosed. Principled organizational dissent entailed protests designed to change the organizational status quo. Exercising voice referred to voicing opinions. Prosocial behavior, as well as organizational citizenship behavior, described behaving outside or beyond required behaviors. Finally, functional or creative disobedience implied disobeying morally questionable orders. The individual behaviors required to overcome social norms necessitated a departure from norms while resisting external social pressures to conform. In most cases of positive deviance, autonomy played a critical role. Individual autonomy or job autonomy often emboldened individuals to action.

Quinn and Quinn (2002) note that positive deviance requires being other-focused. Parker and Axtell (2001) maintain that being other-focused requires empathizing with others' needs and having the ability of perspective-taking. Brief and Motowidlo (1986) conclude that being other-focused promotes helping behaviors and interpersonal facilitation. Spreitzer and Sonenshein (2003) reiterate that an other-focus is necessary for the mindset needed to transcend the norms of the referent group.

Deci and Ryan (1985) say that self-determined individuals sense that their behaviors are internally driven from the self, which makes them feel autonomous while perceiving they have an internal locus of causality in life. Feeling in control of their own

destiny, they are intrinsically motivated to make greater efforts toward goal attainment. Frese, Garst, and Fay (2000) find that the greater control felt in one's job through a sense of agency, the stronger the predictor of initiative-taking. Spreitzer and Sonenshein (2003) believe a sense of agency is the underlying concept of self-determination, which facilitates positive deviance: "Agency links thought with action" (p. 215). Bateman and Porath (2003) posit that self-determination promotes transcendent behaviors, prosocial behaviors, and positive deviance based on intrinsic conscious choices rather than external pressures.

Webster's New Universal Unabridged Dictionary (1996) describes courage as the willingness to do what is right even when at risk. Spreitzer and Sonenshein (2003) assert that a lack of risk negates any need for courage. Risk can be physical, emotional, psychological, or professional. The potential loss of affection, respect, or profession can only be overcome by tapping into one's own courage. Quinn (1996) says that most individuals favor staying within their comfort zone where they are in control and can minimize risks related to loss. Courage is what allows individuals, even though they are at risk, to push through their fears and engage in positive deviant behaviors. Heckert (1998) and Jones (1998) find institutions often punish individuals who practice positive deviant behaviors. Mathews and Wacker (2002) and Posner (1976) assert that individuals in support of the status quo often create resistance toward or stigmatize those willing to engage in positive deviant behaviors. Quinn (1996) confirms this finding when noting how institutions will pressure the individual back toward normative behaviors, even when positive deviant behaviors will affect positive change. Warren (2003) notes

that even when institutions oppose such behaviors, outsiders often find these positive deviant behaviors honorable, perceiving that the behaviors adhere to a higher-level norm. Worline et al. (2002) postulate that without courage, individuals' intrinsic pressures will not be able to overcome such external pressures: courage allows them to break away from the status quo and engage in transcendent, prosocial, and positive deviant behaviors.

May et al. (2003) indicate that when individuals positively adapted to significant adversity, they display moral resiliency. Sustaining authentic moral behavior over the long-term, following one's own values and beliefs, even when pressured by significant others internal or external to the institution, models moral resiliency to other individuals. "Those who are better able to positively adapt to dealing with adversity or risk arising from taking difficult stances are more likely to sustain authentic moral behaviors over time" (p. 350). Youssef and Luthans (2005) note the importance of resiliency, which they refer to as being "able to survive, adapt, swiftly bounce back, and flourish despite uncertainty, change, adversity, or even failure..." (pp. 303-304). Luthans (2002a, 2002b) stresses the significance of the power of a positive orientation and approach, such as being resilient. Luthans and Avolio (2003) include resilience as an attribute of the self-awareness dimension. Youssef and Luthans (2005) view individual resiliency as being open to change, dynamic, and open to development. Hence, resiliency can be developed further through self-awareness.

Glazer and Glazer (1999) note that those who courageously behave against the status quo of unethical, illegal, or irresponsible organizational power have "displayed impressive strength and resilience in caring for others and in their willingness to put

themselves at risk" (p. 279). They often have to overcome multiple fears based on the organization's intimidation efforts. Organizations often attempt to extract a heavy price from those willing and able to challenge the status quo. Those who behave courageously within the context of these fears and intimidations do so because of their determination, based on their faith in the justice of their cause, to persist no matter what the obstacles. Without their willingness to endure based on their beliefs, they will not have maintained or sustained courageous behaviors. Their decisions comply with their value system even in the face of resistance from their superiors. They will not deny their beliefs to follow the status quo, or say that they are following orders and therefore are not responsible for their decisions or consequences. Their intrinsic value system acts as a counterforce to the external pressures of silence, conformity, collusion, collaboration, and cohesion. "They believed that the costs of inaction were even higher" than the costs of action (p. 290). Organizational retaliation often includes intimidation, reprisal, and termination. "These kinds of retaliation are not trivial. To withstand them requires the fortitude to stay the course no matter how severe the organizational reaction" (p. 291).

Kolditz and Brazil (2005) analyze how individuals manage dangerous or high-risk (*in extremis*) situations and found those with high degrees of resilience, hope, and optimism are able to powerfully influence the outcomes of *in extremis* situations. Police officers and military personnel are not the only individuals involved in dangerous or high-risk situations. Professionals stressed from organizational intimidation while courageously resisting unethical, immoral, or illegal activities often fear for their position, career, livelihood, mental and physical health, and spiritual well-being. Danger

and high-risk can threaten the physical, mental, or spiritual dimensions of the individual. For those involved with long-term, dangerous, high-risk, and life-altering conflicts, courageous resistance will be required to survive the exhausting situation.

Shepela et al. (1999) studied courageous resistance, which connoted high-risk courageous principled-actions sustained over time, requiring much courage and resilience. Courageous resistance is defined as courage continued over time based on conscious, deliberative, voluntary, selfless, and sustained behaviors that entails significant risk to individuals or their families and associates. Courageous resistance is a form of altruism because it is sustained and deliberative, differing from heroic behaviors (risky bystander intervention), where individuals exhibit courageous behavior spontaneously while limited to the current situational needs. "The cost of courageous resistance can be so high that most moral stances do not require of us that we take that risk. One can decide not to take the route of courageous resistance and still feel morally justified" (p. 789). Glazer and Glazer (1999) posit that courageous resistance can be applied to whistle-blowing, (Shepela et al., 1999) risky public demonstrations (civil rights), dissidents, constructive patriots, or environmental crusaders. Multi-faceted retaliations from organizations often result in professional dismissal, blacklisting, severe financial setbacks, severe impact to family and friends, and personal dislocation.

Shepela et al. (1999) note that predictors of this extremer sustained version of transcendent, prosocial, and positive deviant behaviors include the usual: focus is other-directed, based on transcendent values or principles, self-efficacy, courage, and resilience. The most significant additional predictor is found to be the individual's

strongly held belief of *heightened* inclusiveness. Others might have choose to be inclusive, but these individuals have heightened levels of the belief in inclusiveness and a heightened sense of its value. Inclusiveness encompasses "the willingness to see all people as similar to themselves and the tendency to befriend others on the basis of their shared personal qualities" (p. 792). Other predictors include "a greater *comprehension* of the need for their help, their willingness to act despite perceived risk, and their access to supportive informal networks" (p. 792). Individuals who choose to act upon their courage, knowing this will be a sustained, dramatic, and unenviable struggle, have a strong "internal locus of control, greater attachments to people and a greater sense of responsibility for them, and a heightened empathy for the pain and helplessness of others" (p. 792). They also have "a sense of self as linked to others through a shared humanity which requires mutual aid in time of danger and stress" (p. 793). Ultimately, empathy, attachment, and identification are required for courageous resistance. Fogelman (1994) declares that no single catalyst creates the desire to resist courageously. A confluence of personal and situational variables converge simultaneously creating the transforming experience of courageous resistance. Shepela et al. (1999) note that courageous resistance is counter-intuitive behavior, which means only the extraordinary individual in an extraordinary situation will choose to sustain this level of courage over time. To choose to come to the aid of others while over-riding the powerful need for self-protection is courageous indeed.

Summary

Courageous principled-actions require both courage and principle (moral courage). Those who use courageous principled-actions do so in stressful situations rife with unethical, immoral, or illegal policies or practices. They take such actions at great risk and cost to themselves and their careers while affecting their colleagues, family members, and friends.

Authentic Leadership

Authentic leadership components include leader, follower, culture, and outcomes. Leaders influence followers who create, maintain, and sustain culture, which ultimately affects the performance outcomes of the organization. A brief overview of the leader's role and significant concepts affecting authenticity are discussed. The dimensions of followership follow, culminating with a discussion of authentic cultures and veritable and sustainable outcomes.

Authentic Leaders ~ Briefly

Avolio et al. (2004a) consider authentic leadership as the root construct for all positive leaderships, including transformational and ethical leadership. Luthans and Avolio (2003) note that a convergence of positive psychology, transformational leadership, and ethical leadership are needed to allow institutions to thrive, gain competitive advantage, and survive; this convergence is known as authentic leadership. Cooper et al. (2005) suggest the disciplines of leadership, ethics, and positive organizational scholarship inform the authentic leadership construct.

Hannah et al. (2005) defines authentic leadership as "a process that: (1) emanates from a leader; (2) is driven by the abilities and motives inherent in a highly developed moral self-concept; and (3) is fueled by leader virtue and an altruistic desire to exercise agentic control over the leadership domain" (p. 51). Gardner et al. (2005a) emphasize that authentic leadership focuses attention on "the processes whereby leaders and followers experience growth by becoming more authentic" (p. 346).

Cooper et al. (2005) assert that authentic leadership can not be acquired as a competency skill through a traditional leadership training program. Authentic leadership is learned over a lifetime. Training can not replicate *trigger events* that influence personal development. Scholars can not agree on whether ethical decision-making can be taught through training programs. Age seems to be particularly relevant for the development of authenticity. Experiences that hone authenticity take time, often a lifetime, to experience. Individuals need time to experience various trigger events and then to reflect upon them, which will influence moral development. Such development takes years.

May et al. (2003) explain that authentic leadership development has three required moral components: moral capacity, moral courage, and moral resiliency. All three of these develop over time, influence moral actions, and model the way for followers and other leaders. An authentic institutional culture that is ethical and supportive allows authentic leadership development to flourish.

Chan et al. (2005) assert, "authentic leadership is a lifelong developmental phenomenon that involves acquiring greater self-awareness along with an unwavering

commitment to and regulation of the self" (p. 35). Avolio and Gardner (2005) note that a focus of authentic leadership is personal development for the sake of development prior to seeking or attaining leadership roles. This is one of the distinguishing features of authentic leadership. Once leadership roles have been attained, further professional and personal development will continue as the leader seeks to evolve authentically. Most leadership development discusses relative to other forms of leadership are focused on leadership development solely after one has attained a position of leadership with an emphasis on professional development rather than personal development.

Moral Development

Luthans and Avolio (2003) posit an inherent ethical or moral component to authentic leadership. May et al. (2003) assert that authentic leaders use an ethical and transparent decision-making process that inherently requires a moral component. In order to have a positive moral perspective, one must have a positive moral capacity to address ethical issues, take moral actions, and develop authenticity. Burns (1978) insisted upon a moral component for transformational leadership, as did Bass (1988) in his later work as he expanded upon his own earlier work (1985) and Burns' (1978) model for transformational leadership.

Avolio and Gardner (2005) note that authentic leaders influence followers through "the processes of identification, positive modeling, emotional contagion, supporting self-determination, and positive social exchanges …," which are considered to be the *leadership component* of authentic leadership (p. 328). Gardner et al. (2005a) indicate that:

> First and foremost, an authentic leader must achieve authenticity … through self-awareness, self-acceptance, and authentic actions and relationships. However, authentic leadership extends beyond the authenticity of the leader as a person to encompass authentic relations with followers and associates. These relationships are characterized by: a) transparency, openness, and trust, b) guidance toward worthy objectives, and c) an emphasis on follower development (p. 347).

Avolio et al. (2004a) posit that authentic leaders influence follower attitudes, beliefs, and behaviors while enhancing the effects of hope, optimism, trust, and positive emotions. The positive emotions and trust that develop between leaders and followers strengthens the leadership process by building integrity. Emotions are viewed as important within the leader-follower relationship, unlike many other leadership paradigms. Authentic leaders influence follower attitudes of commitment, job satisfaction, empowerment, and task engagement. The interrelationship between meaningfulness in the workplace and task engagement is strong, which effects productivity, profits, customer satisfaction, employee turnover, and job-related accidents. Gardner et al. (2005a) note that leaders can profoundly influence followers' views regarding appropriate values. When leaders focus on self-enhancement values, followers activate their working self-concept on the individual (independent) level. When leaders focus on self-transcendence values, followers activate their working self-concept on the collective (relational) level. Lord and Brown (2001) add that when leaders focus on self-enhancement and self-transcendence values simultaneously, followers failed to activate the working self-concept due to the incompatibility of such a message. When asked to focus on personal gain, followers will. When asked to focus on self-sacrifice for the organization, followers will. But when the self-enhancing leader asks the followers for

self-sacrifice, followers usually do nothing in response rather than sorting out the inconsistencies and incongruencies.

Varella et al. (2005) maintain that authentic leaders will seek to develop social capital with followers, which ultimately benefits the social group rather than the individual. Luthans, Avolio, Walumbwa, and Li (2005) assert that authentic leaders also will seek to develop psychological capital (individual benefit) with followers, which produces higher levels of optimism, resilience, efficacy, and hope within the followers.

Avolio and Gardner (2005) explain that leaders influence followers through personal and social identification, positive modeling, emotional contagion, and positive social exchanges. Avolio et al. (2004a, 2004b), Gardner et al. (2005a), and Ilies et al. (2005) discuss how leader values, modeling, and relational transparency influence followers' personal identification (self) and social identification (self within the context of society). Followers identify with the leader.

Positive Modeling

Avolio et al. (2004a), Gardner et al. (2005a), Ilies et al. (2005), Luthans and Avolio (2003), May et al. (2003), Shamir and Eilam (2005), and Shamir, House, and Arthur (1993) agree that positive modeling is the primary mechanism authentic leaders use to influence followers. Positive modeling is a component of self-awareness, self-regulation, positive psychological states, and positive moral perspectives. Leaders who positively model must be self-aware and regulate their behaviors. Through this awareness, positive psychological states and positive moral perspectives develop for leaders and followers. Avolio et al. (2004a) and Michie and Gooty (2005) discuss the

influence of emotional contagion and positive social exchanges on followers. Authentic leaders who appropriately show their emotions and keep a positive emotional perspective tend to be contagious with their influence on followers' emotional states, which creates positive psychological states for leaders and followers. Leaders who transparently and positively interact with followers create the opportunity for mutually beneficial positive social exchanges. These exchanges build trust and integrity within the leader-follower relationship.

Gardner et al. (2005a) maintain that as authentic leaders actively and continuously model self-awareness, balanced processing, transparency, and authentic behavior, they do this through congruency of thoughts, words, and deeds. Therefore, this positive modeling exhibits to followers an authentic way of thinking, speaking, and behaving that will enhance authentic follower development. Authentic leaders positive modeling serves as a key input to authentic follower development. The authentic growth of leaders and followers creates group norms that will shift the organizational culture toward a more ethical and authentic culture.

Sheldon and Elliot (1999) and Sheldon and Houser-Marko (2001) document that authentic leaders positively model authentic behaviors while direct verbal communications enhance understanding of how to achieve authenticity and self-concordant identities. Clifton and Harter (2003) and Liden, Wayne, and Sparrowe (2000) argue that by helping followers to discover their talents, develop their strengths, and empower them to accomplish more, leaders model the capacity to excel.

Gardner et al. (2005a) note that when followers are exposed to authentic leader's positive modeling, these experiences, coupled with self-development, a positive work environment, and meaningful work, create high levels of trust between leaders and followers that lead to high levels of professional engagement, which ultimately will lead to well-being for leaders and followers. Such positive personal and professional growth experienced directly impacts sustainable and veritable organizational outcomes. Erickson (1995a), Harter (2002), Harter, Schmidt, and Hayes (2002), Harter, Schmidt, and Keyes (2003), and Ilies et al. (2005) document that authentic relationships between leaders and followers seek the following outcomes: trust, engagement, and workplace well-being.

Authentic Relational Transparency

As Hughes (2005) notes, authentic leaders strive for relational transparency with followers by being open with information, promoting sharing of ideas, self-disclosing appropriately, and being more trustworthy while expecting more trustworthiness. Avolio et al. (2004b) describe four expressions of appropriate self-disclosure between authentic leaders and followers: goals/motives, identity, values, and emotions (GIVE). Hughes (2005) asserts that authentic leaders who appropriately self-disclosed with followers are establishing relational transparency. Followers motivation increases when they know why they are doing what they are doing (goals/motives), trust who they are dealing with (identity), understand and share in the values underlying the decision-making (values), and feel secure in sharing and trusting in the expressed emotions of themselves and those with whom they work.

Dasborough and Ashkanasy (2005) determine that follower perceptions of leader authenticity are grounded in the leader's moral behavior and intentions. Did followers perceive the authentic leader to be open, trustworthy, and transparent? The most critical determinant for followers of leader authenticity is their perception of the leader's intentions. Weierter (1997) notes that followers track behaviors and expressions to determine if they should follow this particular leader. Dasborough and Ashkanasy (2005) posit that the followers' perceptions of the leader's authenticity result in leader attributions regarding intentions, emotional reactions to influence attempts, labeling as transformational, and changes in trust levels. The importance of these perceptions lay with what followers attribute to leaders because these attributions influence follower attitudes and behaviors.

Avolio and Gardner (2005) determine that through an authentic relationship with their leader, followers internalize the positively modeled value and belief system of the leader into their own value and belief system. As a result, followers evolve their self-conception of their actual and possible selves. When leaders are transparent, followers gain respect for them, which influences followers then to use transparency as they developed their own heightened authenticity.

Authentic Followers

Gardner et al. (2005a) specify that the model for authentic followership is based on the model for authentic leadership, which was previously represented as Figure 1.01 (p. 4). However, the goal for followership is to develop followers (self-awareness and self-regulation) to a level that they will positively contribute to and affect outcomes. The

goal is not to develop more leaders; the goal is to develop more effective (authentic) followers. Gardner et al. (2005a) state that follower development in many ways mirrors leader development because the purpose of positive modeling by authentic leaders is the authentic development of the follower. Follower development is a central tenet of authentic leadership. As followers respond to leaders' positive modeling, they integrate their heightened self-awareness and self-regulatory processes into their identity (self).

Hoyle, Kernis, Leary, and Baldwin (1999) believe that followers individually develop their unique conception of self based on their early childhood, family and friend experiences, their educational attainments and work experiences, as well as the role models in their lives. Dean, Brandes, and Dhwardkar (1998) observe that new and inexperienced followers are more receptive to positive modeling than experienced, jaded followers who have become cynical due to ineffective or opportunistic past leaders, office politics, or shattered expectations. Gardner et al. (2005a) add that with time, patience, and perseverance authentic leaders can overcome such follower resistance, which might serve as a trigger event for the follower's own individual development.

Gardner et al. (2005a) assert that three desirable outcomes are sought from the followership: trust, engagement, and well-being. Dirks and Ferrin (2002) and Jones and George (1998) confirm that heightened levels of trust allow followers to accept the leadership of the leader. Harter et al. (2003) posit that when followers involve themselves in their work, follower satisfaction increases. Such increases in satisfaction in turn increase enthusiasm for work. This process of engagement can directly affect organizational outcomes. Kahneman (1999) and Ryan and Deci (2000b) claim followers

who feel stressed at work lack a sense of well-being. Through authentic followership development, a sense of well-being develops that allows the follower to affect organizational outcomes positively. Gardner et al. (2005a) follow up by stressing that authentic followership development is an integral part of and a product of authentic leadership. Followership includes the components of follower self-awareness, follower self-regulation, follower self-development, and leader-follower authentic relationships that lead to follower engagement and eudaimonia.

Follower Self-Awareness

Avolio and Gardner (2005) indicate that authentic followers become self-aware and self-accepting. Such acceptance enhances self-regulation as exhibited by their behaviors, which supports the goal attainment of the organization. Followers pursue these goals because they have come to believe in them and because the goals are congruent with the leader's goals.

Gardner et al. (2005a) state that follower self-awareness requires self-knowledge of their identity, emotions, values, motives, and goals. Through positive modeling, authentic leaders encourage self-discovery among followers, which leads to self-awareness and self-knowledge. Those followers who aligned themselves with the leader's values and beliefs will be more inclined toward authentic follower development. Followers whose beliefs and values are incongruent with the leader's beliefs and values might like the leader while not necessarily following the leader. Followers whose beliefs and values are congruent with the leader's beliefs and values are more willing to follow the leader's lead. The closer the alignment between follower and leader beliefs and

values, the more the follower will identify with and welcome the opportunity to follow that leader.

Gardner et al. (2005a) note that followers low in self-clarity lack insight into their identities, core values, emotions, motives, or goals. Based on their lack of self-clarity, they often are attracted to leaders who have higher self-clarity. Gardner and Avolio (1998) assert that followers often come to identify with these leaders' end values and beliefs even though Ryan and Deci (2003) observe the followers are relying on an external source of regulation. Weierter (1997) stresses that authentic leaders encourage followers to develop their own value system so unscrupulous leaders can not manipulate them. Howell and Shamir (2005) and Weierter (1997) add that authentic leaders encourage followers to identify less with them as a person and identify more with their value system. Deci and Ryan (1995) and Kernis (2003) note that as followers internalize these values, their self-clarity and autonomy will be enhanced, which will lead to higher levels of authenticity.

Gardner et al. (2005a) observe that authentic leaders' persona often threaten followers who are low in self-clarity. Because they do not have a clear sense of their self, values, or beliefs, low self-clarity follower's inner confusion encourages them to reject authentic leaders and their influence or to be completely dependent on the leader for direction. They do not have a clear sense of who they are nor are they confident enough to engage in an authentic relationship. Authentic leaders who are patient, who persist, and who continue to model authentic behaviors might enhance feelings of trust and a desire for self-discovery on the part of such followers.

Follower Self-Regulation

Kernis (2003) and Deci and Ryan (1995, 2000) observe that follower self-regulation mirrors leader self-regulation. Self-regulation, coupled with self-awareness, balanced processing, authentic behaviors, and relational transparency, result in internalized values and goals that lead to follower development. Gardner et al. (2005a) determine that those followers who develop stable, positive, and authentic expressions will clearly be more effective followers, professionally and personally.

Follower Self-Development

Hannah et al. (2005) predict morally developed authentic leaders will foster follower development through: "(1) follower emulation of the leader's conduct; (2) stronger bonds of trust between the leader and follower; (3) a higher degree of transparency across the organization; (4) stronger social identification and buy-in by followers; and (5) greater leader latitude to make difficult and potentially unpopular decisions" (p. 70). Luthans and Avolio (2003) and Lord et al. (1999) claim that authentic leaders with a future orientation on transcendent values will focus followers on their possible selves, rather than their current selves, affording followers the opportunity to promote self-verification motives that will cause them to seek out accurate feedback to facilitate personal growth and development.

Leader-Follower Authentic Relationships

Avolio and Gardner (2005) state that when leader-follower relationships are authentic, these authentic relationships promote open and honest communications due to deeply held shared values, thereby promoting the pursuit and attainment of shared goals.

Gardner et al. (2005a) note that authentic relationships describe the relationships between leaders, followers, and others. The mutually reciprocal relationships allow for follower and leader self-development, as well as an understanding of the interrelatedness of their professional association. Gardner and Avolio (1998) add that the cohesion of this relationship is not based on perceptions of leader or follower actions, but on judgments of attribution made by followers or leaders regarding the others' intentions, effectiveness, and authenticity.

Rousseau (1995) discussed the psychological contract between leaders and followers based on consistent, transparent interactions that result in positive outcomes. Followers learn over time what decisions to make, even in the leader's absence, based on the psychological contract of common understanding and responsibilities of the mutual parties. Meeting both parties' expectations strengthens mutual trust that fosters an authentic relationship, which ultimately enhances outcomes and performance. Avolio (1999) posits that followers develop trust over time (relational trust) in the leader's intentions, which give leaders the benefit of the doubt. Dirks and Ferrin (2002) assert that followers at this level of trust tend to have higher levels of job satisfaction, organizational commitment, professional behaviors, and job performance, which contribute to sustainable and veritable outcomes.

Robins and Boldero (2003) maintain that when leaders and followers see themselves as being similar due to shared values and goals, consistently acting transparently enhances authentic relationships. When followers have high congruence between their true and possible selves with the leader's true and possible selves, high

levels of trust, intimacy, cooperation, and goal alignment are achieved. The accuracy of the present and perceive selves from followers and leaders is important to ensure high levels of trust and intimacy. Incongruency results in superficial, hierarchical, or dominant roles and relationships, which adversely influence the organizational culture.

Follower Engagement

Harter et al. (2002) define employee engagement as "the individual's involvement and satisfaction with as well as enthusiasm for work" (p. 269). May, Gilson, and Harter (2004) discuss role performances where followers view engagement of their physical, cognitive, and emotional selves toward organizational goals and outcomes. Followers who perceive their engagement at work as meaningful are more inclined to escalate their engagement. May (2004) further found that perceptions of meaningfulness are influenced by co-worker relationships, work assignments, and the fit between worker and work. Harter et al. (2002) show employee engagement and positive organizational outcomes are strongly associated with positive customer satisfaction, productivity, profit, and reduced employee turnover.

Follower Well-Being

Ilies et al. (2005) outline how authentic leaders influence followers' eudaimonic well-being. The five factors that influence eudaimonia are personal and organizational identification, emotional contagion, modeling positive behaviors, supporting self-determination (autonomy), and promoting positive social exchanges. Followers often personally identify with authentic leaders when the leaders have personal integrity, display an elevated self-awareness, support truthful relationships, and have developed

unconditional trust with followers. Authentic leaders positively express their emotions as they develop a culture accepting of emotional expression. The leader's positive emotions influence followers' experiences as they create a state of emotional contagion. Authentic leaders express positive authentic behaviors and model such behaviors for superiors, colleagues, and followers. Authentic leaders provide opportunities for followers' skill development by fostering follower autonomy (self-determination). Finally, authentic leaders create opportunities for social exchanges with followers as leaders model authentic behaviors and expressed their values, beliefs, and purposes.

Ryan and Deci (2000a) describe the construct of eudaimonic well-being as involving self-congruence, vital functioning, life satisfaction, and psychological health. Waterman (1993) links eudaimonia with authenticity by positing this linkage occurs when individual's actions are congruent with their true self. Harter et al. (2003) maintain that workplace well-being occurs as a direct result of authentic relationships enhanced by positive modeling, encouragement, and nurturing. Luthans and Avolio (2003) use Harter et al.'s (2002) meta-analysis to assert workplace well-being results in a competitive advantage, which produces sustainable and veritable follower outcomes. Avolio and Gardner (2005) assert that the relationships between leaders and followers are also affected.

Authentic Cultures

Avolio (2003) documented that leadership scholars believe organizational cultures are turbulent, uncertain, and challenging. Authentic leaders alter the organizational culture with their authentic behaviors and positive modeling. An authentic culture must

be developed to sustain and foster further authentic development of leaders and followers. Gardner et al. (2005a) and Luthans and Avolio (2003) assert that a positive organizational culture must be linked to the authentic leader and authentic follower in order to facilitate veritable and sustainable outcomes.

Gardner et al. (2005a) and Luthans and Avolio (2003) stress that authentic leaders must insist upon, cultivate, promote, and support an inclusive organizational culture (climate or context) to promote learning and personal growth. They believe that any social system, including organizations and leadership, generate countless forces and balances that perpetuate the status quo of that system, as reflected through its culture. Schein (2004) asserts that the culture created by the dominant group is based on "a pattern of shared basic assumptions that was learned by a group as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems" (p. 17). Gardner et al. (2005a) indicate that authentic leaders and authentic followers can create an authentic organizational culture. The reciprocal nature of leaders and followers creating an authentic culture and the authentic culture supporting the authenticity of leaders and followers is noted. The authentic culture is a by-product of an escalation of multiple authentic relationships.

Avolio and Gardner (2005) argue that organizational culture moderates the authentic leadership-performance relationship. A positive authentic culture can directly lead to heightened leader and follower self-awareness. An inclusive, ethical, and

strength-based culture can support authenticity and authentic development. Organizations that support open and equitable access to information, resources, support, and opportunities develop a culture that is conducive to learning and personal development, which will lead to veritable and sustainable outcomes.

May et al. (2003) contend that authentic leaders, through their decisions and actions, shape the culture and work processes that develop and promote ethical behaviors and support responsible work habits of their followers. Ethical cultures are caring cultures that recognize and support the intrinsic value of all followers. Therefore, the ethical reasoning used by authentic leaders is based on their intrinsic value. Followers view the authentic leaders' decisions as just, fair, ethical, and impartial. When followers perceive any divergence from this path, they feel safe in expressing their opinions knowing authentic leaders will heed their concerns. Hence, followers tend to want to emulate authentic leader behaviors.

Avolio (2003) posits that a positive organizational culture can support authenticity, while authenticity can create a positive organizational culture. Gardner et al. (2005a) acknowledge Kanter's (1977) and Kanter, Stein, and Jick's (1992) work showing work environments with open access to information, resources, support, and opportunity enhance leaders' and followers' abilities to work productively. Hence, leaders must create and sustain workplace environments that support learning, growth, and transparency to produce sustainable and veritable outcomes. Rhoades, Eisenberger, and Armeli (2001) show follower commitment and positive attitudes are enhanced when they are treated in a fair and positive manner, which Gardner et al. (2005a) assert can

result in a competitive advantage. Leadership that is inclusive, caring, engaging, and oriented toward personal development creates and sustains a positive organizational culture.

Authentic Outcomes

Avolio and Gardner (2005) document that sustainable superior performance and sustainable competitive advantage are used interchangeably in the strategic management literature. Barney (1991) describes these terms as indicating the outcome when the organization develops and implements a strategy that creates a value no other firm can or has duplicated. Once competitors are able to duplicate this strategy successfully (obtain the same outcome), the original organization no longer has sustained their competitive advantage. Rouse and Daellenbach (1999) add that competitive advantage is formed over time with above-average performance sustaining it.

Avolio and Gardner (2005) conclude that *veritable* qualifies *sustained* performance by requiring its attainment through ethical and authentic processes. Watson (2003) stresses that veritable (genuine) values sustain the performance and growth, while Roberts and Dowling (2002) add that these outcomes occur over time. Beer (2001) concurs that veritable and sustainable outcomes are a long-term strategy. Therefore, short-term financial gains and immediate performance often are sacrificed in the interests of the long-term strategy. Avolio and Gardner (2005) assert that veritable sustained performance includes more than financial performance. It includes the intangible of building human, social, and psychological capital, as well as tacit knowledge. Rousseau

(1995) asserts that the psychological contracts consciously and unconsciously established between leaders and followers are vital to veritable and sustainable outcomes.

Summary

Authentic leadership encompasses the leader, follower, and culture dimensions followed by the added dimension of outcomes. Qualities of the leaders and their moral development dramatically influence their positive modeling with followers, as well as their authentic transparency. Followers' self-awareness, self-regulation, and follower development affects followers' authentic relationships, their engagement levels, and their eudaimonic well-being. Finally, culture and outcomes were assessed within the context of authentic leadership.

Authentic Leaders

An understanding of who authentic leaders are and how they develop authentically is only half of the equation. The other half of the equation includes what choices and actions they take that differentiated them from non-authentic leaders.

Who Are Authentic Leaders?

Authentic leaders understand that who they have become is as important as the actions they take for themselves, others, and society. Therefore, Chan et al. (2005) emphasize that authentic leaders must be true to themselves and their leadership role. They must be aware of social cues and followers' desires, needs, and expectations rather than having free rein for expressing their personalities. Therefore, authentic leaders can be true to themselves while adapting well to the demands of leadership. May et al. (2003) assert that authentic leaders must know what is important to them and what are

their core values and beliefs while simultaneously acting in accordance with these values and beliefs.

Hannah et al. (2005) characterize authentic leaders as highly morally attuned, highly altruistic, and highly virtuous with higher levels of moral agency. May et al. (2003) suggest that when leaders know themselves, are transparent between inner desires, expectation, and values with everyday behaviors in every interaction, they are known as authentic leaders. They exhibit higher moral capacity with their mature analyses of various dilemmas and consequences while staying focused on the greater good rather than on self-interests. Ultimately, they execute and uphold the difficult decisions necessary that ensure a positive, optimistic future.

Gardner et al. (2005a) maintain "genuine leaders who lead by example … foster healthy ethical climates characterized by transparency, trust, integrity, and high moral standards. We call such individuals authentic leaders who are not only true to themselves, but lead others by helping them to likewise achieve authenticity" (p. 346). "[F]irst and foremost, an authentic leader must achieve authenticity … through self-awareness, self-acceptance, and authentic actions and relationships" (p. 347).

Cashman (1997), a leadership practitioner, defines authentic leadership as "authentic self-expression that creates value" (p. 1). Leadership is not simply a process, but is an intimate expression of the self that comes from deep within, reflecting the self in action. George (2004), another leadership practitioner, believes authenticity is not about leadership skills or styles, but about being the genuine self. Developing the persona of a leader through training or seminars is the opposite of striving for authenticity.

Authenticity is about character and a genuine desire to serve others. Authentic leaders are focused on empowering followers so they can collectively make a difference. When their principles are tested, they stand up against the pressure. Authentic leaders recognize that developing authenticity will take a lifetime of personal growth.

Gardner et al. (2005a), analyzing the research of Goleman (1995, 1998) and Goleman et al. (2002), determine that authentic leaders are emotionally intelligent. In addition, internalized regulatory processes with self-concordant identities primarily drive them. They pursue integrated goal sets that personify their internalized value system and personal standards of conduct. Authentic leaders use intrinsic motivation, integrated regulation, self-concordant identities, and emotional intelligence as some of their internalized processes.

What Distinguishes Authentic Leaders?

Moral development, transcendent values, and specific attributions such as passion, compassion, purpose in life, authenticity, and self-identity distinguish authentic leaders from non-authentic leaders. Hannah et al. (2005) acknowledge that authentic leaders morally develop as they enhance their moral capacity and authenticity simultaneously when they experience trigger events, use self-reflection to analyze and investigate meaning, use meta-cognition to check the self's reliability, which produces more virtuous and altruistic moral solutions. Their self-concept strengthens as they act upon their moral decisions using moral behaviors, which strengthens the identification and development of the moral self. The moral self exercises its sense of agency, which enhances moral capacity and authenticity. Gioia and Poole (1984) determine that over time, scripts for

these past moral dilemmas provide habituated patterns for future decisions and actions, which allow authentic leaders to redirect their cognitive abilities toward new and complex issues. Those effective strategies integrate into memory as they become habituated.

Hannah et al. (2005) and Chan et al. (2005) assert that authenticity develops parallel to morality. Moral development and authenticity are mutually reinforcing. Authentic leaders are, at a minimum, postconventionalists based on Kohlberg's 5th and 6th stages of moral development. Authenticity, moral capacity, and agency develop in unison. Authentic leaders, note Luthans and Avolio (2003), often have higher levels of moral integrity because they are conscious of their value system while focusing on the common good rather than the promotion of self-interests. Bass and Steidlmeier (1999) and Luthans and Avolio (2003) specify that authentic leaders engage in self-transcendent behaviors when they are intrinsically motivated toward universal values, which often take a lifetime of experience to shape and develop.

May et al. (2003) claim that authentic leaders self-identify as morally worthy individuals and tend to be seen as such by their followers based on perceived moral development and conduct. Gardner et al. (2005a) suggest, therefore, that those who are seen as more trustworthy, honest, credible, respectful of others, fair, and accountable will be viewed by followers as socially attractive and disproportionately influential. Because of these perceptions, they will be viewed and supported as the leader.

Luthans and Avolio (2003) observe that leaders, and especially authentic leaders, value individual identity images of trustworthiness, credibility, moral worthiness,

integrity, respect for others, fairness, and accountability. As authentic leaders, they are true to themselves while displaying high levels of moral integrity. Hence, Gardner and Avolio (1998) assert that trustworthiness is a core value that is supported with trustworthy actions that lead to enhanced credibility. Gardner et al. (2005a) add that authentic leaders' credibility is based on their knowledge and expertise, as well as their value system, transparency, and consistency between words and deeds.

May et al. (2003) identified six characteristics of moral decision-making for leaders: consequences varied for leaders and followers, the probability of consequences occurring varied, consequences might occur in the present or the future (near or far), distance between leader and follower (near or far) could influence the impact, consequences might affect the few or the many, and the consensus of what the leader should do might vary.

Luthans and Avolio (2003) posit an inherent ethical or moral component to authentic leadership. May et al. (2003) assert that authentic leaders use an ethical and transparent decision-making process that inherently requires a moral component. In order to have a positive moral perspective, authentic leaders must have positive moral capacity, efficacy, courage, and resiliency to address ethical issues, take moral actions, and develop authenticity.

May et al. (2003) described three crucial steps toward authentic decision-making: "recognizing moral dilemmas, transparently evaluating the alternatives, and developing intentions to act in a manner consistent with one's evaluations" (p. 255). Then, past experience and relevant knowledge, skills, and abilities could be integrated with the

leader's core values and beliefs to reach an ethical authentic decision. Hannah et al. (2005) noted that those using meta-cognition continuously were able to more critically assess and process moral reasoning, which allowed for self-transformation and interpretation of the self while influencing moral agency.

May et al. (2003) stress that authentic leaders reflect a positive moral perspective and communicate through their words, deeds, and actions through high moral standards and values so they can lead by example. Barlow et al. (2003) find moral development increases with maturity and experience.

Hannah et al. (2005) believe authentic leaders have high levels of virtuousness and empathy, which motivate them toward altruism. Then their level of moral engagement is heightened, influencing them toward moral intention. When moral engagement and moral intention are high, authentic leaders will intervene during unethical, immoral, or illegal situations they witness even though they may only be peripherally affected.

Bass and Steidlmeier (1999), Luthans and Avolio (2003), and May et al. (2003) state that authentic leaders are guided by values oriented toward doing what is right and fair. Gardner et al. (2005a) note that authentic leaders use transcendent values with the emphasis on *the ends over the means*. Burns (1978) notes that transcendent values include liberty, justice, equality, and collective well-being. Erickson (1995a, 1995b) contends that these values become internalized, which makes the value system an integral component of the self. Being authentic means being true to this internalized value system

and the self while simultaneously resisting external pressures to alter, ignore, or accept conflicting value systems.

Luthans and Avolio (2003) claim that authentic leaders have higher levels of moral integrity because they are much more conscious of their value system. Howell and Avolio (1992) add that authentic leaders focus on the common good rather than the promotion of self-interests, which lead them toward courageous principled-actions. Bass and Steidlmeier (1999) and Luthans and Avolio (2003) confirm that authentic leaders engage in self-transcending behaviors when they are intrinsically motivated toward universal values.

Bass and Steidlmeier (1999), Luthans and Avolio (2003), and May et al. (2003) stress that authentic leaders are guided by values oriented toward doing what is right and fair. Michie and Gooty (2005) label leaders along four dimensions: high frequency of other-directed emotions, low frequency of other-directed emotions, high priority for self-transcendent values, and low priority for self-transcendent values. Authentic leaders are found to have high frequency of other-directed emotions along with a high priority for self-transcendent values (high consistency between values and behaviors). Those leaders with high other-directed emotions, but low priority for self-transcendent values are categorized as coalitional leaders (moderate consistency between values and behaviors). Those leaders with low other-directed emotions, but high priority on self-transcendent values are categorized as egocentric leaders (low consistency between values and behaviors). Lastly, leaders with low other-directed emotions and a low priority on self-transcendent values are categorized as sacrificial leaders (moderate consistency between

values and behaviors). When emotions and values interact at their highest levels, congruency and transparency between values and actions occur.

Therefore, Bass and Steidlmeier (1999) assert that the moral wisdom of authentic leaders keeps personal power and self-aggrandizement in check. Michie and Goody (2005) conclude that while authentic leaders have both self-enhancement and self-transcendent values, they give priority to their self-transcendent values.

May et al. (2003) document that ethical values and behaviors are an integral part of authentic leaders' personal and professional lives. They view themselves as the moral standard-bearer for their institution with the attendant responsibility for acting morally and in the best interests of others. Such a strong message of words and actions promotes authentic behaviors to followers. May et al. (2003) say, "those who are better able to positively adapt to dealing with adversity or risk arising from taking difficult stances are more likely to sustain authentic moral behaviors over time" (p. 250). They also prophetically state that leaders prove they are authentic when called upon by fate to take a stand that changes the course of history … either for others or the institution.

Gardner and Schermerhorn (2004) note that core leadership states such as confidence, hope, optimism, and resilience are essential for higher performance. Authentic leaders who possess these attributes and who pass them on to their followers can influence the veritable and sustainable outcomes of their institution. They build self-confidence (self-efficacy), create hope, raise optimism, and strengthen resilience while leading with positive performance expectations, which lead to feelings of eudaimonia.

Klenke (2005) notes that authentic leaders passionately and compassionately understand followers' feelings of distress in the workplace. Compassion and passion are utilized differently. Compassion means "to feel with others, to enter their point of view and realize that they have the same fears and sorrows as oneself" (p. 166). When individuals connect with another person, they are able to identify with the other, which allows for the expression of compassion. Passion is "the burning desire to lead, serve the customer, or support a cause or product..." (p. 166). Authentic leaders share in their followers' pain, fear, and anguish. "Authentic leaders and followers practice compassion and are more passionately involved in their interactions with each other, their organizations, and society than [are] their less authentic counterparts" (p. 166).

Sosik (2000) defines personal meaning, "as that which makes one's life most important, coherent, and worthwhile" (p. 61). He connects personal meaning to the concept of purpose in life where individuals possess future-oriented, self-transcendent goals in life. Tepper (2003) defines spirituality as the motivation to find meaning and purpose in life. Klenke (2005) posits that authentic leaders use their overarching meaning and purpose in life as a way of connecting with their deeper selves.

Kernis (2003) documents that authenticity is composed of the mutually interdependent components of self-awareness, balanced processing, and behavior. Gardner et al. (2005a) analyze that authentic leaders who are self-aware of their values, beliefs, and needs and who have a balanced assessment of their self-concept must then analyze the professional (illegal, unethical, immoral) situations before them and then choose between inauthentic or authentic behaviors as a response to these external

pressures. Authenticity must be attained for each of these three levels: self-awareness, balanced processing, and behaviors. Positively modeling authentic behaviors to followers will enhance their authentic follower development, but authentic leaders primarily choose the path of authenticity to ensure congruence between their core values and espoused transcendent values. They are motivated intrinsically, not extrinsically.

Lord et al. (1999) stress that when individuals perceive themselves as sharing key attributes with other group members, they will self-identify as a member of that group, organization, or society. Hogg (2001) posits that leaders emerge and endure within groups based on their status within the *in-group* rather than the *out-group*. Access and membership within the in-group allow leaders to develop power within the group that leads to influence, which ultimately sets the leader apart from followers who now identify them as *leaders*. Ultimately, leaders define the characteristics of the group, thereby enduring as the leader of the group. Leaders are disproportionately influential within the group, which is socially attractive to followers who then accept them as the leader.

Kirkpatrick and Locke (1991) identified six significant leader traits: drive, desire to lead, honesty and integrity, self-confidence, cognitive ability, and knowledge of the leader's industry. They asserted that leaders were either born with these traits, learned these traits, or had a combination thereof. Such traits set leaders apart from followers.

Gardner (2003) posits that authentic leaders use a self-presentation strategy called exemplification to motivate followers to emulate authentic behaviors. Exemplification allows authentic leaders to elicit attributions of morally and culturally defined worthiness.

Authentic leaders use exemplification to link their authentic selves to their authentic behavior in a transparent manner, which influences veritable and sustainable outcomes.

Avolio et al. (2004a) note that authentic leaders can be participative, directive, or even authoritarian. Their leadership style is not what differentiates them from other leaders. What differentiates them is their acting upon their deeply held personal values and beliefs, building credibility through integrity, working for the respect and trust of followers, working toward positive authentic relationships, and thinking, talking, and acting authentically all the time, not just in the workplace.

How Do Authentic Leaders Develop?

Personal development, self-awareness, and a strong sense of agency are some of the pathways to authentic development. Gardner et al. (2005a) argue that authentic development occurs over time and in an incremental process. Personal histories and analyses of trigger events can enhance understanding of this developmental process. Personal histories may include early life challenges, educational and professional experiences, as well as family, friends, and role model interactions. Trigger events are those moments in life when noticeable personal growth and development are the by-product of a catalyzing event. This catalyzing event may be a dramatic, life-altering event or it may be a subtle, profound moment that results in a sudden, intense personal insight. When leaders focus on their personal experiences and trigger events through self-awareness, these events can be viewed as either positive catalysts toward authentic development or negative catalysts that result in a slowing of authentic development.

Avolio (2003, 2005) and Luthans and Avolio (2003) acknowledge that personal development starts early in life. How the authentic leader interprets the various trigger events in life and the other accumulated life experiences enhances or diminishes their self-development. Hoyle et al. (1999) believe childhood experiences, family influences, cultural influences, role models, and educational experiences develop the individual lenses used to interpret these life events. These stored memories are the self-knowledge (self-schemata) that shapes one's identity. Gardner et al. (2005a) assert that authentic leaders are influenced by one or more positive role models at pivotal times in their lives, resulting in personal growth and self-awareness.

Avolio (2005) and Luthans and Avolio (2003) stress that the management of trigger events in life determines whether the event stimulate positive growth and development or whether it constrains positive growth and development. Trigger events can be viewed as positive events or negative events, but the key to development is how these life events are managed. Negative trigger events can be childhood traumas, loss of a loved one, work set backs, financial hardships, or health constraints. Positive trigger events can be a childhood role model who reflected positive thinking or behaviors, a book or movie that triggered introspection, any event that caused a positive paradigm shift, a relationship that supported personal and/or professional growth, or a professional promotion toward a level of responsibility where one can make a difference. Gardner et al. (2005a) add that conscious reflection on these life events and their constructively interpreted meaning develops the self and moves the leader toward further authenticity.

Gardner et al. (2005a) posit that self-awareness is a core element of authentic leadership. Authentic leaders consciously use heightened levels of self-awareness for personal and professional development. Kernis (2003) said awareness involves "having awareness of, and trust in, one's motives, feelings, desires, and self-relevant cognitions" (p. 13). Gardner et al. (2005a) add that self-awareness is a process, not an end in itself, where one comes to reflect on those values, beliefs, and talents held that can be used for personal growth, as well as follower development.

Gardner et al. (2005a) note that leaders who choose to be self-aware consciously use their personal insights to identify and modify their weaknesses, while identifying and enhancing their strengths. Conscious self-reflection allows for introspection, which enhances clarity and concordance of identity, core values, emotions, motives, and goals. Such accord and harmony of self develop a sense of well-being.

Gardner et al. (2005a) assert that authentic leaders accept, as part of their self-concept, the role of leader and role model. They actively embrace this identity and internalize the meaning behind *leader*. However, they are not authentic because they are leaders, but in spite of being leaders. They use their role of leader to promote personal growth and authenticity in others while pursing their mission in life. Hence, their self-concept does include their role as leader. Their self-clarity of their self-concept is strong, which enhances their authenticity.

Gardner et al. (2005a) stress that authentic leaders achieve self-concordant identities as they gain self-knowledge and self-awareness. Because of these levels of

awareness, their decisions and actions become more congruent, self-determined, and consonant with their internalized systems of values and goals.

Ilies et al. (2005) listed three primary personal characteristics defined in the leadership literature that influenced self-realization (eudaimonic well-being). They included positive self-concept (self-awareness), personal integrity (self-awareness), and emotional intelligence (self-regulation). Without these three personal characteristics, no sense of agency would develop. Bandura (2001) defined agency as the capacity to improve quality of life by exercising control over the environment. Authentic leaders had a high sense of agency when they exercised their capacities of intentionality, forethought, self-reactiveness, and self-reflectiveness. Intentionality stressed the conscious intentional exercise of agency. Forethought referred to thinking ahead and analyzing consequences before taking action. Self-reactiveness referred to being self-motivated and self-regulated. Finally, self-reflectiveness concerned the internal process of reflecting upon the perceived competence of the thoughts and actions of the self. Bandura (1991) asserted that leaders used their refrain power and proactive power to develop agency. Refrain power was the ability to refrain against acting immorally while proactive power was the proactive ability to behave morally.

Hannah et al. (2005) view agency and its dimensions as a central tenet of authentic leaders. Authentic leaders use forethought, self-reaction, and self-reflection as they think morally and then motivate themselves to behave morally using intentionality, refrain power, and proactive power. Authentic leaders who have an inherent need for

thinking and behaving morally develop high levels of self-determinism and agency, which allows them to resist external pressures to act less authentically and morally.

As Hannah et al. (2005) note, authentic leaders possess higher meta-cognitive abilities. These abilities reinforce a heightened sense of agency over their moral experiences, which lead them to incorporate virtuousness into their moral reasoning and decision-making. These attributes support the ability and motivation of the authentic leader with processing moral dilemmas. Markus and Wurf (1987) add that authentic leaders possess and utilize altruism and virtue, activated by the self, as part of the self-concept, which strengthens their sense of agency.

What Choices and Actions Do Authentic Leaders Make?

Moral choices are authentically expressed through intentional moral actions. Then, and only then, can moral courage couple with moral actions that promote courageous principled-actions. Kernis (2003) describes behaving authentically as "acting in accord with one's values, preferences, and needs as opposed to acting merely to please others or to attain rewards or avoid punishments through acting 'falsely'…Authenticity is not reflected in a compulsion to be one's true self, but rather in the free and natural expression of core feelings, motives, and inclinations" (p. 14). Deci and Ryan (1995) and Ryan and Deci (2003) stress that when invited by external pressures to act counter to internalized values, internal conflict arises. Authentic leaders choose to behave in a manner congruent with their internal value system rather than to respond to external pressures, which enhances their integrity and authentic leadership development. Gardner et al. (2005a) add that authentic leaders optimal self-esteem allows them the security of

intrinsic feelings of self-worth that shield them from external pressures to compromise their beliefs and values.

The value system followed is important to leaders and followers. Lord and Brown (2001) observe that when leaders focus on self-enhancement values, followers focus on self-interests rather than group-interests. Yet, when leaders focus on self-transcendence values, followers focus on group-interests, which leads to professional engagement. When leaders focus on self-enhancement and self-transcendent values simultaneously, followers stand back, make decisions not to decide, and basically do nothing. However, their impression of transparency, integrity, trust, and confidence ebb as adverse pressure occur within the leader-follower relationship.

Hannah et al. (2005) note that using multiple lenses or perspectives facilitates complex moral thinking. Complex morally developed individuals do not use a single ethical framework for moral decision-making. Over their lifetime, multiple lenses such as deontological (norms, duties, rules, and laws), teleological (goal-based, consequential, or utilitarian), or areteological (inherent virtuousness of individual or issue) are intertwined and used simultaneously or in tandem. Authentic leaders have a greater propensity to use all or most of these lenses, as necessary, to assess moral dilemmas and achieve the best moral fit for the situation.

Choi and Mai-Dalton (1998, 1999) define self-sacrificial leadership as the abandonment or postponement of leader interests, privileges, and welfare for the good of others. Klenke (2005) notes that many leaders self-sacrifice in times of crisis. Authentic leaders tend to believe so fervently in their purpose in life that they daily practice self-

sacrifice without compulsion or conflict, not just in times of crisis. Hannah et al. (2005) propose that authentic leaders' strong integration of values into self creates a strong commitment to the self to the point that authentic leaders see self-consistent behaviors as a moral imperative.

Bass, Waldman, and Avolio (1987), Choi and Mai-Dalton (1998, 1999), Gardner and Avolio (1998), and Luthans and Avolio (2003) agree that authentic leaders specifically use positive modeling to influence follower development. They model positive values, psychological states, behaviors, and self-development. Followers attend to and are motivated to learn from leaders with high credibility, prestige, and trustworthiness. Followers ignore and, therefore, do not learn from those leaders who do not gain their attention. Leaders who model confidence, high moral standards, innovative problem solving, commitment, and self-sacrifice influence the organizational culture as followers emulate those behaviors modeled.

Luthans and Avolio (2003) contend that authentic relationships are central to authentic follower development; therefore, positive modeling by the authentic leader for the follower is central to authentic relationships. Gardner et al. (2005a) add that positive modeling is mutually beneficial. Leaders model authentic behaviors for followers while followers learn authentic behaviors from leaders.

Gardner et al. (2005a) confirm that authenticity has a relational transparency component. Kernis (2003) defines relational transparency as "relational in nature, in as much as it involves valuing and achieving openness and truthfulness in one's close relationships" (p. 15). Gardner et al. (2005a) contend that appropriate selective-

disclosure creates bonds of intimacy and trust. Authentic leaders who selectively disclose their authentic selves to followers can support authentic follower development and enhancement of integrity felt by followers regarding the authentic leader. Sharing both the positive and negative aspects of the self, as well as helping others to balance the process of analyzing their positive and negative aspects, creates a transparent relationship between leader and follower. Openness and truthfulness enhance closeness. Avolio (2005), Luthans and Avolio (2003), and May et al. (2003) maintain that openly sharing information (transparency) within relationships is a critical facet of authentic leadership development. Avolio, Jung, Murry, Sivasubramaniam, and Garger (2003) observe that transparency allows followers to understand the authentic leader is serving the organizational interests even when that may conflict with the leader's or followers' self-interests. A focus on group interests over individual interests positively models appropriate authentic behaviors. Gardner et al. (2005a) contend that authentic leaders are comfortable appropriately sharing their emotions and feelings to followers, while managing the meaning of these emotions and feelings to maximize positive modeling.

Douglas, Ferris, and Perrewé (2005) confirm that authentic leaders with effective political skills use their authenticity to inspire trust and confidence within followers to motivate, increase productivity, and engender commitment to their cause. The use of the term *political skills* can have negative connotations, such as appearing to connote inauthenticity. However, authentic leaders use authentic political skills to express their passion for transcendent values, prosocial behaviors, and those actions that integrate their purpose in life with their professional and personal lives.

Blau (1964), Gouldner (1960), Graen and Uhl-Bien (1995), Liden, Sparrowe, and Wayne (1997), and Ilies et al. (2005) agree that social exchange theory posits that leaders establish a positive social exchange with their followers based on the principles of reciprocity and value congruence. If the relationship is reciprocal and involves shared values, then a positive social exchange develops between leader and follower. According to Avolio and Gardner (2005), when authentic leaders are unbiased with their self-analysis, personal integrity, and relational orientation, followers develop high levels of trust, respect, and positive affect regarding the relationship. As the authenticity within the leader-follower relationship evolve, greater value congruence develops and leader modeled behaviors are integrated into the follower's way of behaving. Greater authenticity evolves for leaders and followers involved in these authentic relationships.

May et al. (2003) assert that intention to act is important, but acting ethically, legally, and morally upon this intention is paramount. The difference between authentic leaders and other leaders may simply come down to having the moral courage to say and do the right thing. The most important predictor of authentic leaders' moral actions is their intention to act. Authentic leaders generally know what is right; their intention to act, to focus long-term, and subsequently to engage in action differentiates them from many other leaders.

May et al. (2003) stress that authentic leaders have the fortitude to convert intentions into actions. Their mental and emotional strength to handle adversity, danger, or change is based on their moral courage. Moral courage allows authentic leaders to focus on long-term outcomes over short-term outcomes, as well as withstand extreme

external pressures to diverge from doing the right thing. Moral efficacy is the intrinsic belief that one has the skills, abilities, and motivation to justify a given moral action and effectively handle any external opposition to this action. This intrinsic belief (moral efficacy) enhances intrinsic moral courage within the authentic leader.

Hannah et al. (2005) say authentic leaders with both personal virtuousness and high moral development have a high commitment-to-self. They focus, internally and externally, on virtues and attendant ethical processes. Internal virtues facilitate commitment-to-self and, regardless of the social cost, motivate authentic leaders to express moral behaviors consistent with their beliefs and values. Altruistic behaviors toward others flow from internal processes that activate external ethical processes expressed as moral leadership. Batson (1998) asserts that the focus of altruism is to increase the welfare of another. High levels of empathy creates the prosocial emotions of sympathy, tenderness, and compassion, which motivates individuals toward altruism. Peterson and Seligman (2004) listed the six core virtues as courage, wisdom, temperance, humanity, justice, and transcendence. Hannah et al. (2005) believe these six virtues are conspicuous in authentic leaders and drive them to moral actions that positively influence others.

Hannah et al. (2005) propose that authentic leaders self-identify as moral leaders because their highly developed self-concept includes a complex and evolved moral dimension of which they are aware and utilizes with moral perceptions and moral decision-making. Authentic leaders use forethought and intentionality when making ethical decisions, which increases their sense of leadership agency. They take ownership

and responsibility for the ethical and moral decisions and actions made by them and their followers.

Summary

Authentic leaders value both who they are and their characteristics which define and distinguish them from other individuals and leaders. Their personal and moral development has taken a lifetime to evolve authentically, which has led them to the point in their lives where they feel compelled to use transcendent behaviors and prosocial behaviors to affect positive change through positive deviance and courageous principled-actions.

Higher Education Administration Challenges

Cahn (1994) notes that higher education has its saints and scamps, just like all other social institutions. Standards of conduct are not always as professional as desired. Ethical and unethical behaviors matter because they influence what others believe, alter paradigms, and change the way individuals think. Often such behaviors come from the focus of self-absorption and self-interest rather than conscious unethical leanings. However, incidents of misconduct in higher education are anything but rare. Such incidents can not be waived away as charming idiosyncrasies of eccentric faculty or overzealous administrators.

Braxton and Bayer (1999) categorize higher education misconduct in two categories: inviolable norms and admonitory norms. Inviolable norms include condescending negativism, inattentive planning, moral turpitude, particularistic grading, personal disregard, uncommunicated course details, and uncooperative cynicism.

Admonitory norms include advisement negligence, authoritarian conduct, inadequate communication, inadequate course design, inconvenience avoidance, instructional narrowness, insufficient syllabi, teaching secrecy, and undermining colleagues.

Hamilton (2002) refers to various integrity issues in higher education across the continuum as unprofessional, unethical, immoral, and/or illegal activities. Unprofessional issues include lack of productivity, ineffective teaching, poor customer service for students, teaching irrelevant material, variable grading practices, incompetent teaching, student favoritism, negativism, outside consulting, condescending behaviors, references to faith, social, or political ideology in a secular setting, scholarship on alien abduction or intelligent design, failure to maintain academic standards, misuse of academic freedom, misuse of tenure, and expert testimony for hire.

Hamilton (2002) identifies unethical issues that include unethical research, research misconduct, manipulation of data, authorship attributions, and errors in scholarship. Also included is self-promotion, inflation of credentials, and press conferences on administration incompetence.

Hamilton (2002) notes immoral behaviors include retaliatory behaviors toward students, staff, and/or colleagues, tyrannical (mis)conduct, response to fraud from a colleague, false allegations of misconduct against colleagues, confidentiality or lack thereof, denial of the Holocaust, supporting discriminatory policies, retaliation against campus reformers, as well as falsehoods, fabrications, and grossly intemperate remarks.

Hamilton (2002) identifies illegal behaviors that include discrimination, sexual harassment, financial conflicts of interest, falsifying credentials, falsifying grant

applications, fraudulent use of grant funds, fraudulent expense reports, fraudulent billing for services, fraud, various illegal personnel actions, criminal conduct ranging from rape to driving while intoxicated, hostile environment, and retaliation against campus reformers.

Specific areas of misconduct are worth noting. Cahn (1994) observes that typical academic protocol for hiring for a new faculty position includes receiving authorization from the dean to open the position before interviewing or hiring. Interviewing and hiring for a faculty position that is of a specialty required by the department's needs rather than meeting faculty self-interests will meet faculty fiduciary responsibilities. Therefore, it is unethical and a breach of institutional policy to open or hire for a position not authorized by the Dean. Unfortunately, such behaviors are far too common within the academic environment.

Cahn (1994) acknowledges some departments are "beset by hostile factions, battling over a variety of personal, political, or scholarly issues" (p. 57). The issues can range from personality mismatches to research misconduct. Faculty who plagiarize research, appropriate student and/or colleague ideas as their own, co-author papers not worked on, or who manipulate research funds are guilty of research misconduct. Hamilton (2002) notes that external pressures exerted against faculty through corporate funding of their research is an area for concern. "Market-focused individual faculty members who achieve celebrity status or whose knowledge has high profit potential increasingly emphasize personal gain outside the walls in the allocation of their time and productive energy" (p. 2).

Cahn (1994) asserts without reservation that any faculty member guilty of exchanging favors for grades must be dismissed immediately. "Virtually every college and university is burdened with at least one or two senior faculty members who display flagrant ineptitude or irresponsibility" (p. 91). Efforts to remove such faculty are often extremely expensive, financially and otherwise, to the institution, which is designed to inhibit dismissal efforts. Litigation costs, time, and effort further exacerbate dismissal efforts.

Cahn (1994) acknowledges some unscrupulous, indolent, or incompetent faculty misuse their tenure, but he feels administration is responsible for limiting such opportunities. Often court conflicts regarding tenure force the administration to prove why a faculty member does not deserve tenure or continued employment rather than making the faculty member prove that they do deserve tenure or continued employment.

Hamilton (2002) documents that "society and members of a profession form an unwritten social compact whereby the members of a profession agree to restrain self-interest, to promote ideals of public service, and to maintain high standards of performance, while society in return allows the profession substantial autonomy to regulate itself through peer review" (p. 3). When faculty or administrators engage in unprofessional, unethical, immoral, or illegal activities, they are disavowing the social compact between themselves, their professions, their social institution, and the society that finances them.

Cahn (1994) counsels, "it is imperative that schools not only bring immediate charges against any faculty members deemed guilty of outrageous behaviors but also

establish procedures to review regularly the work of all tenured professors. The absence of such safe-guards is no tribute to academic freedom but an invitation to academic irresponsibility" (p. 93). Sinnott and Johnson (1996) note that the shared governance system within the academic culture creates such issues of misconduct based on disparate colleagues with disparate value systems. Birnbaum (1988) and Kerr (1984) note that collegial leadership, a primary component of shared governance, emphasizes getting along and consensus, which is not always based on authenticity or transcendent values and rarely encourages an authentic culture. Fisher and Koch (1996) stress that the current custom of collegial leadership, so revered as part of shared governance, has been shown to be ineffective because collegial leadership is a romantic idealized notion insufficient for the current academic environment.

Fairweather (1996) believes administrators can affect change within the academic culture by managing resources more effectively. Resource management and issues of autonomy are often prime sources of conflict between administrators and faculty that lead to unethical, immoral, or illegal practices. Birnbaum (1988) stresses that *who decides* and *who decides who decides* influences negative and positive practices that often lead toward a negative or positive academic culture.

Chmura and Fairweather (1996) determine that senior administrators can positively affect change within the academic culture with policies, organizational realignment, and transformational leadership. Bensimon, Neumann, and Birnbaum (1989) believe transformative leadership can use influence and policy to shift faculty misconduct toward positive conduct "in such a way as to raise them to new levels of

morality and motivation" (p. 10). Tuchman (1984) stresses that those leaders with character, fearlessness, inner strength, high-principles, persistence, and risk tolerance can prevail against the pressures of resistance to change. Avolio et al. (2004a) asserts that authentic, transformational, ethical, servant, and spiritual leaderships are positive and effective forms of leadership. Therefore, through authentic leadership, authentic leaders can use their positive value systems, authentic behaviors, and positive modeling to affect positive cultural change. Several scholars (Bateman & Porath, 2003; Cameron, 2003; Finfgeld, 1999; Gibbs, 2003; Shepela et al., 1999; Warren, 2003; Worline & Quinn, 2003) suggest that authentic leaders can utilize their prosocial, transcendent, and courageous principled-actions to integrate positive deviance and courageous resistance into the academic culture to affect positive cultural changes. Van Patten (1990) concludes that effective leadership will curb the imbalances of power and the imbalances of excesses demanded by both external and internal constituents.

Chapter III. Method

General Research Overview

The focus of this study identified relevant themes that definitively indicated authentic development in the participants who were senior administrators in higher education administration. Variables focused upon were: (1) leader self-identity themes, (2) transcendent values, moral development models, and ethical philosophies utilized for decision-making, (3) character strengths supporting authenticity, moral courage, and courageous principled-action, (4) courageous principled-actions (transcendent behaviors, prosocial behaviors, courageous moral actions, and positive deviance) taken within the senior administrative context, and (5) the significant events, role models, and personal insights that were directly attributable to their moral development, personal development, and authentic development.

Appropriate methods and perspectives, appropriate measurement tools, appropriate indicators of authenticity, and appropriate authentic behaviors are discussed and analyzed. How life stories appropriately measure the dimensions sought while placed within the context of authentic leadership is reviewed. Then, strategies for ensuring the quality of qualitative research, as well as sampling strategies, triangulation strategies, interviewing strategies, and data analyses and interpretation strategies are identified. Finally, specific methods and protocols used for this study are documented.

Appropriate Methods and Perspectives

Cooper et al. (2005) confirm that the scholars who developed the authentic leadership model are taking a normative approach while developing a new perspective of leadership. In the early stages of model construction, qualitative methods are often used.

Early qualitative methods appropriate for authentic leadership research include life stories, grounded theory, and various leadership assessment tools.

Avolio and Gardner (2005) discuss the research needs for such a new theoretical model and have determined that qualitative methods, such as case studies, life stories, and narratives, are effective measurement tools for authentic leadership themes. Quantitative methods are also being developed; the preliminary efforts are on multiple-correlation studies using questionnaires and surveys given to leaders and followers that measure values and emotions (and their relationships) as related to performance, follower development, and follower relationships to the leader. Currently there have been quantitative measurement difficulties due to the broadness of the definition of authentic leadership.

Chan et al. (2005) assert that a social cognitive lens is being used to define authenticity and authentic leadership. Chan (2005) notes that the authentic leadership model is still in the developmental stages, so no assessment tools has been developed to measure authentic leadership as of 2005. Currently, four different theoretical lenses have been used to analyze the authentic leadership model: intrapersonal, developmental, interpersonal, and pragmatic theoretical lenses. Scholars using the intrapersonal lens focus on intrinsic processes (meta-cognitive, self-concept, and self-regulatory). Scholars using the developmental lens focus on long spans of time required for development and acquisition of authentic leadership attributes (life stories, positive value development, authenticity). Scholars using the interpersonal lens focus on influencing and influences within relationships (leaders and followers). Finally, scholars using the pragmatic lens

focus on the impact of authentic leadership on leaders and followers, as well as the discipline of leadership.

Chan (2005) suggests that stating the context of the study, clarifying the role that behaviors play as a measure of self-development, and interpreting the role that leadership events play can be done by analyzing the meaning attributed to the events. Authentic leadership can be analyzed from the individual, dyadic, group, or organization level. Dasborough and Ashkanasy (2005) note that multiple leadership scholars (Gardner and Schermerhorn, 2004; Lorenzi, 2004; May et al., 2003; Gardner et al., 2005b) have shifted their focus from leadership (process) to leaders (individual) as the relevance of authenticity, morality, integrity, and ethicality move to the pragmatic forefront of corporate America. Therefore, this study focuses on the individual level (authentic leader), which Chan (2005) appropriately suggests can use normative (measure against a norm) and ipsative (measure within-person change against the person) measures. A developmental perspective requires a small selective sample that focuses on authentic leaders and their authentic leadership as a personal journey of growth. The method of using life stories elicits the personal insights and themes gleaned from the participant's self-reflection. The metric of time includes each participant's lifespan since authenticity has taken years of experiences and insights to develop.

Shamir and Eilam (2005) believe authentic leadership researchers must not use normative measurement methods, but instead must seek to develop ipsative measures to identify unique identities and their development. Popper (1997) suggests using ipsative measures and research designs with a strong idiographic (focused on discrete or unique

facts or events) emphasis of single case studies or repeated measure designs. Chan (2005) feels that these methods will be hard to compare across samples, but will provide researchers with a unique frame of reference for study, which will contribute to the understanding and fine-tuning of universal principles identified with authentic leaders.

Appropriate Variables for Study

As Avolio, Gardner, and Walumbwa (2005) assert, "authentic leaders are leaders who: (a) know who they are and what they believe in; (b) display transparency and consistency between their values, ethical reasoning and actions; (c) focus on developing positive psychological states such as confidence, optimism, hope, and resilience within themselves and their associates; and (d) are widely known and respected for their integrity" (p. xxiii). This study focuses on the intrapersonal variables of self-awareness, self-regulation, transparency and congruency of behaviors, and authentic relational orientation as a segue to explain the primary focus of the study: the developmental variables of moral development and courageous principled-actions enhances over the participants' lifetimes.

Ilies et al. (2005) analyze the authentic leadership variables of self-awareness, self-regulation, authentic behavior, and authentic orientation. Self-awareness can be predicted by analyzing the positive self-concept. Do leaders believe themselves to be accomplished (self-efficacy), of high self-worth (self-esteem), having control over their destiny (internal locus of control), awareness of strengths and weaknesses, understanding their emotions and the emotions of others (emotional intelligence), high self-acceptance (based on past actions), autonomy (self-determination), positive relationships, and

environmental mastery? Leaders who have a positive concept and emotional intelligence have higher self-awareness.

Ilies et al. (2005) assert that self-regulation (unbiased processing, which was the basis of personal integrity and character) can be predicted by analyzing processing strategies of self-relevant information. Do leaders deny, distort, or exaggerate relevant information? Do they ignore private knowledge (relating to the self), internal experiences, and externally evaluative information? Are they self-directed? Do they prefer challenges? Do their efforts lead to success? Leaders display greater unbiased processing when they have greater integrity, accurately understand their skills and abilities, and seek out challenging situations to develop their skills and abilities continuously.

Ilies et al. (2005) note that authentic behaviors and actions are predicted by analyzing transparency and congruence of behaviors which reflect one's value system rather than societal expectations, as well as exhibiting actions toward purpose or mission rather than for reward or avoidance of punishment. Authentic behaviors and actions are also predicted when participants are personally expressive when leading, intrinsically motivated, experience flow when following their mission, and exhibit behaviors reflecting high self-esteem. Leaders who express authentic behaviors are reflecting their intrinsic motivation and higher self-esteem.

Ilies et al. (2005) posit that authentic leaders manifest an authentic relational orientation when they are self-aware, use unbiased processing, and behave authentically. An authentic relational orientation can be predicted by analyzing levels of self-disclosure

between authentic leaders and others. Do they have intimate professional relationships with superiors, colleagues, and followers? Do they appropriately reveal their true self, their values and beliefs, and their mission or purpose? Are they open and truthful within their relationships? Have they engendered trust from those around them? Do their teams have synergistic relationships? Are their teams successful? Do they promote personal growth in others? Authentic leaders with high integrity who focus on their own transcendent value system rather than other-driven value systems have a higher authentic relational orientation. Unconditional trust permeates their positive authentic relationships.

Appropriate Measurement Tools

Shamir and Eilam (2005) note that life stories of authentic leaders are almost non-existent in the literature since the authentic leadership model is still in the early stages of development. As a research method, life stories focus on meaning while life histories focus on events. While life stories have been used sparingly within all varieties of leadership research, anthropologists have used this approach extensively while studying various cultures and their people's expressed meanings. Pittinsky and Tyson (2005) define leader authenticity markers, which can be identified through life stories, as the actions and features of an authentic leader that will lead followers to believe the leader is authentic. Examples include progressive orientation, compassionate policy positions, experiences of struggle, and emotional connections to historical or significant events.

Cooper et al. (2005) believe that additional relevant dependent variables have yet to be identified; consequently, adequate assessment tools to measure some of the

dependent variables must be constructed. For example, no current psychometric assessment tools measure self-awareness. Therefore, Huffcutt, Conway, Roth, and Stone (2001), as well as Posthuma, Morgeson, and Campion (2002), suggest that constructs such as authentic leadership are effectively assessed through qualitative measures, such as structured interviews. Crowne and Marlow (1960) report that self-report methods often result in a tendency toward answering in a socially desirable rather than a truthful manner. When participants have a need for approval, they tend to respond in a culturally appropriate and acceptable manner. Gardner et al. (2005a) note that honesty, openness, and transparency are paramount to authentic leaders, which will limit or eliminate answering in less than authentic ways.

Appropriate Indicators of Authenticity

Cooper et al. (2005) caution researchers against labeling leaders authentic simply because they are charismatic, gifted communicators, or leaders who have been able to connect with their employees. Kernis (2003) notes that authentic leaders exhibit authentic behaviors when external pressures invite them to act in conflict with their internal values and beliefs. Rather than act to please others or to avoid punishment or attain rewards, they feel free to act upon their core values, motives, and inclinations. Deci and Ryan (1995) and Ryan and Deci (2003) stress that when authentic leaders are put in a position professionally to act illegally, unethically, or immorally, how they proceed with resolving this conflict reflects upon their integrity and authentic leadership development. When the external needs and pressures are incompatible with leaders'

internal values and beliefs, authenticity occurs when the internal value system is chosen over the external needs and pressures.

Markus and Kitayama (1994) note that cultures that emphasize individualism over collectivism value individual uniquenesses, autonomy, and awareness of self and others to reduce influence from the external environment. Gardner et al. (2005a) assert that authentic leaders remain independent from the external environment since their focus is on their internal world. They are uniquely genuine and express their genuineness through congruency and transparency. They have a concern for self and others as they emphasize mutual personal growth over the development of other leaders. Their motivation is for their own personal edification. Therefore, participants answering during interviews for this study in a socially desirable manner rather than in a truthful manner will manifest incongruent behaviors for them as authentic leaders.

Appropriate Authentic Behaviors

Kolditz and Brazil (2005) state that seeking leaders who have previously or who are currently engaged in *in extremis* situations will be the ideal candidates from which to determine authentic leaders; their authenticity can be assessed through an analysis of their behaviors. Many individuals view high-risk or dangerous situations as inhospitable and challenging, but authentic leaders often view them as opportunities to take a stand against immoral, unethical, illegal, or dangerous situations. Abshire (2000) determines that character can be analyzed by noting the actions or inactions taken by leaders during professional crises. Clowney (2001) suggests sincerity, honesty, and humbleness are

character traits ideal leaders hold, which Avolio and Gardner (2005) will assert authentic leaders hold.

Gardner et al. (2005a) conclude that when authentic leaders' values and beliefs are contrary to a given professional culture or event, authenticity develops as they are congruent with their values, beliefs, and actions. Fear of harsh professional and/or personal sanctions can cause authentic leaders to act inauthentically while still maintaining their authentic value systems. Asserting a legal, ethical or moral position consistent with the internal value system, but then succumbing to pressures professional or personal to act illegally, unethically, or immorally will qualify an authentic leader as behaving inauthentically. When authentic leaders act in accordance with their values and oppose or seek to change illegal, unethical, or immoral professional situations, they are acting authentically while enhancing their authentic leadership development. May et al. (2003) say, "those who are better able to positively adapt to dealing with adversity or risk arising from taking difficult stances are more likely to sustain authentic moral behaviors over time" (p. 250) so that when called upon by fate, they will take a stand that affects change for others and their institutions.

Life Stories

Life stories are the appropriate method selected for this study. The purpose, potential themes, and specific variables for identification are identified. A focus on moral development, character strengths, trigger events, meaning-making, and personal insights are utilized. Finally, examining predictors of courageous principled-actions identify potential expressions of authentic moral actions focused upon within this study.

Purpose, Themes, and Variables

Shamir and Eilam (2005) believe life stories can be used to identify themes within the authentic developmental process. The self-relevant meanings leaders attach to their life experiences, and/or capture through their life stories, can also enhance self-awareness, which is a major element of personal development and authenticity. Variables such as self-knowledge and personal points-of-view regarding values and convictions, identifying strongly with their leadership role, and describing actions that enact their role, values, and convictions are part of the construct self-story. The meaning develops from these life stories based on experiences and self-reflection can personalize the authenticity process by allowing them to define meaning, and then redefine meaning, which influences convictions, values, and actions. The correlation between their actions and the justification of their actions with their value system develops authenticity. Life stories assist with the development of self-concepts that enhance personal development.

Shamir and Eilam (2005) look for certain identifiable themes from the life stories of authentic leaders. These themes include being themselves rather than personifying leadership, seeking leadership to promote a value-based cause or mission for the greater good, being unique without emulating other leaders, following a value system that is true for them based on personal experiences rather than focusing on being socially or politically correct, and taking actions based on their values and convictions. Noting the congruence between self-concepts and actions can determine levels of authenticity.

Shamir and Eilam (2005) specifically studied the variables of self-concept, self-concept clarity, self-concordance, and self-expression. For this study, leader self-identity

is the central component of self-concept studied. Transcendent values, motivating values, moral development theories, and ethical philosophies utilized for decision-making are the central components of self-concept clarity studied. Levels of passion for values and authentic actions are the central component of self-concordance studied. Finally, the views of the authentic self as expressed through the identification of courageous principled-actions and the attendant personal insights are the central components of self-expression studied. According to Shamir and Eilam (2005), these variables are more likely to support authentic leaders' inner strengths and inner compasses when they deal with life's challenges. Unethical, immoral, and illegal policies and practices within the context of senior administration in higher education challenge the participants in this study.

Shamir and Eilam (2005) view life stories as self-narratives, which express the storyteller's identity by symbolizing the internal model of who the teller is, who he or she is today (and why), and who he or she may become in the future. Viewing events within a life story as interrelated meanings, rather than sequential events, establishes the connections and relationships within the self-concept and its interrelated values and convictions that develop authenticity. Life stories do not revolve around the relaying of facts and events, but are about the meaning felt and interpretations made related to the event. Meaning is the central focus of the events described. Those events and meanings discussed within a life story highlight the individual's priorities as they selectively emphasize certain events and meanings over other life events. Authentic leaders use their life events and their meanings to alter their focus, their behaviors, and their selves into

new and improved versions of themselves. Shamir and Eilam (2005) conclude, "the life story is perhaps the most legitimate and convincing means by which leaders can convey their claim for authenticity, more legitimate and convincing than directly declaring their traits, values and convictions" (p. 409).

Avolio et al. (2004a) state that authentic leaders know who they are and what they believe and value (expressed as authenticity); then, they transparently interact with others while acting upon those values and beliefs. Ricoeur (1992) defines self as the "narrative" of interwoven life stories uniting disparate events, actions, and motivations. He theorizes the self as a narrative project to address issues of constancy and change (static and dynamic). Change is referring to the developmental aspect of the self while constancy is referring to an accepted value system that comprises the self.

Cooper et al. (2005) note that a central concept of authentic leadership is the leader's ethical foundation (moral development). Scholars are still investigating whether adult ethical behavior can be changed through mentoring or training programs. Self-aware unethical leaders may not be able to acquire the moral development necessary in adulthood to be authentic. This study focuses on the dimensions of transcendent values, motivating values, moral development theories, character strengths, and ethical philosophies held by the participants as authentic leaders. Sosik's (2005) self-transcendent values emphasize the interconnectedness between humankind, nature, and a spiritual system, which focuses on "spirituality, fairness, and benevolence toward others" and includes the values of "altruism, self-sacrifice, unity with nature, and social justice" (p. 228). Schwartz's (1994) list of motivating values are relevant to authentic leaders:

power, achievement, hedonism, stimulation, self-direction, universalism, benevolence, tradition, conformity, and security. Peterson and Seligman's (2003) list of character strengths are relevant to authentic leaders: wisdom and knowledge, courage, love, justice, temperance, and transcendence. Rich and DeVitis (1994) note several moral development theories, from Kohlberg's principles of justice, to Gilligan's principles of care, to Hoffman's emphasis on empathy and its integration with both principles (justice and care) and their relevance to authentic leaders. Finally, Richardson and White (1995) list ethical philosophies of egoism, self-realization, natural law, divine law, deontology, and consequentialism as relevant for authentic leaders.

Shamir and Eilam (2005) note that life stories of authentic leaders are about the meaning derived from self-concepts, trigger events, and mentoring. Life stories from non-authentic leaders tend to focus on the acquisition of concepts, skills, and behaviors. Therefore, authentic leaders' self-reflections, a prerequisite to constructing and telling life stories, entail identifying the event, returning to the event, attending to the feelings evoked by the event, re-evaluating the experience of the event, and drawing lessons from the event through personal insights. A focus on identifying strengths, weaknesses, motives, and values allows the authentic leaders to define their true selves. Revisiting the meaning of trigger events (positive and negative) and revising the meaning based on new experiences promotes personal development. Most importantly, authentic leaders continuously learn from their experiences.

Gardner et al. (2005a) note that life stories and trigger events are the antecedents of authentic leadership development, which makes them significant for current research.

Bennis and Thomas (2002) determine that one of the strongest attributes of exceptional business leaders is the ability to become stronger and overcome adversity. Upon reflection after adversity, individuals can transform their views, values, and beliefs, as well as the self, which can shape their abilities to lead others. Cooper et al. (2005) feel that such trigger events are often dramatic and high profile events in the individual's life. Benign events that are less sensational might also trigger personal development that over time will lead to authenticity. Luthans and Avolio (2003) posit that routine events such as studying and reading about other leaders can influence thinking and behavior. Mentoring can also serve as a trigger event to some individuals. Cooper et al. (2005) discuss the concept of *chaining* and *shaping* where multiple small events can act like one major trigger event, which through the cumulative effect can promote personal development that will lead to authenticity.

Bennis and Thomas (2002) believe trigger events occur on a continuum from violent, life-threatening events to episodes of illness or to events such as racism, sexism, homophobia, or other prejudices. These transformative events influence individuals toward a new or altered sense of identity. Events that force individuals to confront distorted views of reality (prejudice) or events that engender profound feelings of anger, bewilderment, or withdrawal can influence individuals to gain a clearer vision of self, their place in the world, and their life's mission. Positive events, such as mentoring, can be trigger events when they are deeply challenging and influence deep reflection of self and purpose.

Avolio and Gardner (2005) suggest that trigger events create the possibility for authentic growth through the development of positive meaning and positive psychological states. Bennis and Thomas (2002) assert that one of the most reliable indicators of true leadership is the ability to find positive meaning through adversity. Conquering adversity and coming out stronger and more committed is a result of finding positive meaning from adversity. Leaders examine their values and question their beliefs, which inform their decisions and judgments. They emerge stronger, more sure of themselves and their abilities, as well as their purpose, which fundamentally allows them to change and personally grow.

Predictors of Courageous Principled-Action

Hannah et al. (2005) believe authentic leaders have high levels of virtuousness and empathy, which motivates them toward altruism. Their level of moral engagement is then heightened, influencing them toward moral intention. When moral engagement and moral intention are high, authentic leaders intervene during unethical, immoral, or illegal situations they witnessed even though they may not be directly affected.

Bennis and Thomas (2002) believe true leaders possess four essential skills, which happen to be the same skills necessary to overcome adversity positively through finding meaning (self-efficacy and meaning-making). These skills include the ability to engage others in shared meaning, to use a distinctive and compelling voice based on purpose, message, and vision, to possess strong values and a strong sense of integrity, and to exhibit an adaptive capacity to overcome adversity (resiliency). A leader's adaptive capacity includes the ability to grasp the true context of the event and the perseverance

and toughness (moral courage) that enable individuals to retain their hope during difficult and trying times. Ultimately, true leaders do not just survive trigger events. They learn from them, emerge stronger than before, and are more engaged and committed to their purpose than before the trigger event. They find opportunity where others find despair.

Bass and Steidlmeier (1999), Luthans and Avolio (2003), and May et al. (2003) state that authentic leaders are guided toward doing what is right and fair by using (Gardner et al., 2005b) transcendent values with the emphasis on *the ends over the means*, which May et al. (2003) believe is an expression of higher moral development. Bateman and Porath (2003) surmise authentic leaders focus on transcendent behaviors because of their extraordinarily high levels of self-efficacy, wisdom, empathy, passion, courage, compassion, positive deviance, and resiliency.

Avolio and Gardner (2005) note that authentic leaders have a purpose in life based on personal meaning that spurs them toward courageous principled-action. Choi and Mai-Dalton (1998, 1999) say that such leaders often practice self-sacrificial leadership based on their strong moral principles and transcendent values that focus on the good of others. Klenke (2005) notes that many authentic leaders believe fervently in their purpose in life. Worline and Quinn (2003) assert that courageous principled-action is never a part of the accepted routine or status quo. It is often difficult, opposed, and unpopular. Authentic leaders who undertake courageous principled-actions, guided by transcendent values, will defy institutional constraints based on their high level of moral development. Bell (2002) and Worline et al. (2002) note these leaders who take courageous principled-action exercise an emotional and intuitive sense of what is *right*,

which is competing with opposing institutional values. Worline and Quinn (2003) explain that courageous principled-action always require both courage and principle, which Worline et al. (2002) assert allows authentic leaders to utilize their moral courage to break away from the status quo.

Glazer and Glazer (1999) note that those who courageously behave against the status quo of unethical, illegal, or irresponsible organizational power often have to overcome multiple fears based on the organization's intimidation efforts. Organizations often attempt to extract a heavy price from those willing and able to challenge the status quo. Those who behave courageously within the context of these fears and intimidations do so because of their determination, based on their faith in the justice of their cause, to persist no matter what the obstacles.

Choi and Mai-Dalton (1998, 1999) define self-sacrificial leadership as the abandonment or postponement of leader interests, privileges, and welfare for the good of others. Klenke (2005) notes that many leaders self-sacrifice in times of crisis. Authentic leaders tend to believe so fervently in their purpose in life that they practice self-sacrifice without compulsion or conflict. Life stories that focus on the underlying strength, courage, and resilience required to take such courageous principled-actions will enhance understanding of authentic leaders and their personal development.

Ensuring the Quality of Qualitative Research

Marshall and Rossman (1995) assert that qualitative research is often challenged as being less credible than quantitative research. Therefore, Lincoln and Guba (1985) stress maintaining qualitative criteria that parallels the quantitative criteria of internal

validity, external validity, reliability, and objectivity. They developed qualitative criteria of credibility, transferability, dependability, and confirmability.

Soundness of Qualitative Studies

Lincoln and Guba (1985) believe that each researcher must prove applicability, consistency, and neutrality through the appropriate design of their research to justify the *true value* of the qualitative study (p. 290). Credibility, transferability, dependability, and confirmability become the criteria to ensure the true value of qualitative research. Credibility requires researchers to utilize methods that ensure the subject matter is identified and described. Transferability requires future researchers (not the original researchers) to ensure the transferability of meaning when generalizing meaning from one study to another study. Dependability requires researchers to describe the phenomenon with sufficient detail while describing the changing conditions of that phenomenon. Qualitative research, by its very nature, implicitly assumes reality changes. Finally, confirmability requires researchers to ensure sufficient detail and data accessibility for future researchers to confirm interpretations and findings from the study.

Marshall (1990) proposed 20 separate qualitative guidelines that enhance credibility, transferability, dependability, and confirmability. Guidelines included (1) method detailed, (2) assumptions stated, (3) bias controlled, (4) raw data available to confirm analyses, (5) research questions stated, (6) phenomena defined, (7) analyses reliably reported, (8) findings checked using a variety of methods, (9) limitations and opportunities for transferability acknowledged, (10) primary focus on new research, (11) appropriate observations made for the study, (12) preserved data available for reanalysis,

(13) appropriate methods used for checking data quality, (14) fieldnotes documented, (15) cross-cultural perspectives used to interpret meaning, (16) confidentiality and ethical standards maintained, (17) participant benefit from study ensured, (18) adequate data collection strategies utilized, (19) holistic approaches to determine linkages to theoretical framework utilized, and (20) historical context of phenomena considered. Marshall and Rossman (1995) assert that the greater number of these guidelines followed will lead to a stronger qualitative research design.

O'Leary (2004) emphasizes the final step toward soundness of quality of qualitative research: accountability. Accountability of qualitative research is ensured by producing an audit trail that allows any other researcher to reproduce the same study parameters and design. Effective auditability will retrace the research process to validate the researcher's data, findings, and conclusions. Is the research method appropriate for the research questions? Is the research design effective for reducing errors? Is the data collected appropriate and is it maintained for future accessibility? Are the interpretations of the data sound? Are the conclusions appropriately generalizable or selectively transferable? Research that is reproducible enhances the credibility of the qualitative research and ensures that the findings can be verified by other researchers.

Sampling Strategies

Berg (2001) discusses two sampling techniques: probability sampling and non-probability sampling. Senese (1997) asserts that probability sampling ensures selecting a sample that mathematically represents the general population studied. Quantitative

research primarily utilizes probability sampling, which includes simple random sampling, systematic random sampling, and stratified random sampling.

Berg (2001) asserts that qualitative research primarily utilizes non-probability sampling, which is not based on probability theory. Instead, a quasi-random sampling allows for convenience sampling, purposive sampling, quota sampling, and snowball sampling. Convenience sampling is based on the availability of participants (easily accessible) without any intention of generalizing interpretations from the collected data to the general population. Purposive sampling is based on researchers using judgment to selectively (purposively) seek and include participants who qualify based on stated criteria. Quota sampling is based on participants qualifying based on stated criteria (various attributes) while selection is based on a stated proportion of that attribute. Finally, snowball sampling is determined to be the best qualitative sampling method when seeking participants with very specific attributes or characteristics. Qualified participants identify other potentially qualified participants for the researcher. O'Leary (2004) refers to snowball sampling as "building a sample through referrals" (p. 110). Lee (1993) adds that snowball sampling is most appropriate when studying difficult to reach populations, sensitive topics, or various classes of deviance.

Triangulation

Denzin (1978) recommends using triangulation strategies for qualitative research. Triangulation strategies entail utilizing three separate strategies for data collection or data interpretation, which enhance the credibility and dependability of qualitative research. Berg (2001) suggests using triangulation during field research by interviewing, listening,

and analyzing documents during the data collection stage. Triangulation occurs when recorded interviews are compared to the heard interview (while listening) and then compared against any documents completed by the participants (such as surveys) to verify the data collected.

Berg (2001) also suggests using triangulation strategies for data interpretation. Collected data analyzed by the researcher can be verified by the participant (member checking) and then coded for themes. O'Leary (2004) notes that member checking allows participants to validate the researcher's interpretation of their dialogue, which enhances credibility. Berg (2001) adds that analyzing, verifying, and coding strategies enhance the credibility and dependability of the analysis and interpretation of data.

Patton (2002) asserts that triangulation must be used judiciously since it can increase the expense of the study. Practical and reasonable applications of triangulation can be gleaned from Denzin's (1978) identification of four appropriate types of triangulation: data, investigator, theory, and method. Data triangulation utilizes several sources of data for collection. Investigator triangulation utilizes several different researchers or evaluators. Theory triangulation utilizes multiple perspectives to interpret the data. Finally, method triangulation utilizes multiple methods when studying a single program or problem. Triangulation seeks to identify the same results from various data points, which reduces the error inherent in single sources of data, methods, researchers, or theories.

Interviewing Strategies

Gillham (2000) describes various interviewing strategies that range across the continuum from unstructured interviews to structured interviews. Unstructured interviews include listening to other people's conversations (verbal observation) and engaging in *natural conversation* to elicit data. Moving along the continuum toward more structured interviews, open-ended interviews utilize a few key questions phrased in a manner open to encouraging dialogue rather than yes or no (closed) responses. Semi-structured interviews utilize open or closed questions to elicit data. Finally, the two most structured interview strategies include semi-structured questionnaires (multiple choice and essay questions) and structured questionnaires (simple, specific, closed questions).

Gillham (2000) asserts that semi-structured interviews, when done correctly, can be the richest single source of data when interviewing is appropriate for the method. Case studies and other similar methods are excellent opportunities for using semi-structured interviews. He advises that knowing the key issues and which questions most appropriately answer these issues in a face-to-face interview allows for a natural, fluent conversation with built in flexibility that enhances productivity. Hence, a practice interview is essential for determining if the selected questions will generate the appropriate data that informs the key issues.

Hughes (2002) asserts that interviewing has strengths and weaknesses that indicate the appropriateness of using interviewing for a particular research method. Strengths include the personalization of face-to-face encounters, the large volumes of contextual data quickly available, the immediate access for follow-up data, enhanced

cooperation from participants, data collected in natural settings, verbal and non-verbal communications discerned, and facilitated analyses, validity checks, and triangulation. Weaknesses of interviews include data often open to misinterpretation, replication difficulties, researcher dependence on participant cooperation (usually a small group of people), data subject to observer effect, reliability of honesty of participants, and heavy dependence on researchers to control bias.

O'Leary (2004) notes that researchers as interviewers are responsible for shaping knowledge; therefore, they have a duty to recognize their perceived or real power over participants. Researchers' realities, worldviews, assumptions, and positions can influence the interviewing and research processes. King (2002) also discusses the interviewer's responsibility during the interviewing process. Researchers tend to either minimize or enhance their professional status to participants, which can influence the perceived power of the researcher from the participant's perspective. Researchers who are more open, personally responsive, and who engage and strive for intimacy create a relaxed environment conducive to openness and dialogue. Developing trust between researchers and participants is critical. Ensuring confidentiality enhances credibility and trust.

King (2002) asserts that researchers must establish and convey appropriate interviewing guidelines with each participant prior to starting the interview. In-depth interviews often elicits deep emotions and highly sensitive information. Each participant must be assured the right to stop the interview or disregard any questions that makes him

or her uncomfortable. Such offers of protection and control enhances trust between researchers and participants.

King (2002) advises using moderate levels of self-disclosure. Total self-disclosure or total detachment can be uncomfortable for researchers and participants, which will influence the interviewing environment. Strongly held opinions and feelings from researchers need to be held until the post-interview debriefing to reduce the perceptions of bias or influencing participants. Maintaining a focus on participants' views and experiences reduces the need for researchers to voice their own opinions.

King (2002) emphasizes that the telling of life stories can "evoke powerful emotions relating to unresolved past or current events, and these can sensitize interviewees, increase their vulnerability and traumatize them even further" (p. 181). "Insight, self-awareness and even acceptance may occur as a result of the evolving narrative during in-depth interviewing" (p. 183). Even though researchers may have shared similar experiences with participants (often the basis of the research question), researchers cannot ever experience the other person's reality. Using empathy, genuineness, and unconditional positive regard (warmth), researchers may discern participants' experiences and insights in relation to their own experiences and insights. Only then can researchers begin to enter the other person's world.

King (2002) explains that active listening skills and effective interpretation of non-verbal skills are essential to researchers. Active listening is enhanced by conscious use of physical position, posture, and eye contact. The researcher's awareness of his or her own non-verbal body language reduces the power of suggestion (approving or

disapproving), which may influence participants' responses. Lincoln and Guba (1985) concur when they note that researchers act as "the major form of data collection device" and so needed to be trained "to operate as an effective instrument" (p. 250).

Data Collection, Analyses, and Interpretation Strategies

When appropriate to the qualitative method, Northcutt and McCoy (2004) suggest using recurrent themes from participant interviews to identify the affinities (thematically organized groupings) sought for data analysis. Using the process of inductive coding, specific themes identified are clustered into general categories. Inductive coding is further utilized for the identification or naming of affinities.

Northcutt and McCoy (2004) note that although inductive coding groups and names affinities, another analysis to finalize the naming, reorganization, clarification, and refinement of the affinities is required. Axial coding uses inductive reasoning to name the affinities and then shifts to deductive reasoning to reorganize the affinities. This recursive process enhances the quality of the coding that identifies the appropriate affinities gleaned from the interviews.

Northcutt and McCoy (2004) emphasize that reflexivity (researchers bringing themselves and their knowledgebases into the interpretation process) must be dealt with in a recursive manner to reduce bias. Researchers' knowledgebases are enhanced by their review of the literature; therefore, researchers' naturally utilized these knowledgebases when they interpreted their affinities, the affinities' significance, and the relationships with affinities identified in the literature. Knowledge from the literature review that informs the research is an appropriate protocol to use for the interpretative process.

However, any new affinities not identified in the previous literature review provides the catalyst for a new but focused literature review. Finally, a reanalysis and reinterpretation of the findings will complete the interpretative process. Conclusions will represent the researcher's final description of the results of the qualitative study.

This Study

Specifics for this study are discussed in detail, including sampling, time period, materials used, protocol developed, and the pilot study completed. Then specific details are outlined for the official interview, transcription, coding, member checking, self-reflection, and the follow-up interview. Finally, the data collection, data analysis, date interpretation, and data audit strategies and methods are reviewed.

Sample

The target populations used included any individual 40 years of age or more who is currently or was previously employed by a large public or private research university in the Southwest in the capacity of a senior administrator. Administrative positions were categorized as permanent, professional, exempt, and administrative to qualify as a senior administrator for this study. Minimum administrative responsibilities required included total administrative responsibilities for one or more departments, divisions, or entities within their institution.

The non-probability sampling technique used included Berg's (2001) and O'Leary's (2004) snowball method: an individual with access or knowledge of authentic leaders in higher education gave the researcher names of other authentic leaders in higher

education. Based on selection criteria, previously identified authentic leaders were contacted and asked for names of other known or perceived authentic leaders.

Selection criteria were based on several leadership scholars' collective definitions of authentic leaders with a concentration on transcendent values, motivating values, moral development, courageous principled-actions, and the consequences of those actions. Therefore, selection of participants was based on the researcher's perceived knowledge from personal information or hearsay of each participant's transcendent values, motivating values, and moral development based on documented courageous principled-actions and an understanding of the consequences of those actions. Because of this selection process, six participants were identified who matched these criteria. All participants had previously exhibited courageous principled-actions against an unethical, immoral, or illegal policy or practice within their institutional context. Their actions had been conscious and sustained rather than spontaneous and situational. They had an awareness and an acceptance that their courageous principled-actions would be, or could have been, career terminating and yet they made the conscious and determined decision based on their moral development and transcendent values to proceed despite the high risks and predictable institutional resistance.

Time Period

The pilot study was conducted in November 2006 when adjustments were made to the interview protocol. Official interviews and follow-up interviews were conducted in December 2006 and January 2007. Analyses and interpretations of the data were completed by March 2007.

Materials

Materials needed for interviewing included pens, pencils, researcher's notebook, and two audio recording devices. A digital recording device was used for ease of transcription with backup tapes and batteries available on site. A backup digital recording device was used to simultaneously record the interviews. Attendant backup tapes and batteries were available on site.

Transcription services were acquired to ensure accuracy and authenticity of recorded statements. A computer was used to assist with coding transcripts. Note cards and markers were used to identify and organize the coded themes. A computer was used to complete the text of the dissertation.

Protocol Development

Each potential participant identified who conformed to the selection criteria received an official *Participant Invitation* to participate in the study (Appendix A). Each potential participant also received an *Authentic Leader Packet* (Appendix B) briefly introducing the researcher, describing authentic leadership and the selection criteria for the study, as well as a motivational appeal for their participation in the study. Contact information was provided to enhance acceptance of the invitation to participate.

Once acceptance was obtained, each participant received a *Participant Consent Form* (Appendix C) and schedules were coordinated between the researcher and individual participant. Participants were permitted to select a location they felt would be comfortable for them as they discussed their life story. Criteria for interviewing locations included a quiet private location that was free of distractions and minimally available

without interruption for at least three hours. Availability of comfortable chairs and/or couches was encouraged. The date and time was mutually coordinated. Availability of drinks and restroom facilities were confirmed.

King's (2002) and O'Leary's (2004) suggestions for standard qualitative research practices were incorporated into the interview protocol. The researcher kept self-disclosure to a minimum while keeping her personal views to herself during the interviews. She created a welcoming and relaxed atmosphere by remaining open, responsive, and engaging. Prior to proceeding with the interview, the researcher guaranteed each participant confidentiality, as well as the right to disregard uncomfortable questions during the interviews. The researcher assigned random gender-neutral names for participants and any people identified in their scenario to ensure confidentiality. In addition, she used active listening skills and had the competence and experience to manage the strong emotions expressed by several of the participants during the interviewing process.

Pilot Study

Gillham (2000) suggested always using a pilot study to test the validity and reliability of the interview questions, as well as to practice the interviewing style. In November 2006, the researcher identified a willing senior administrator following the same protocol for the official interview. The purpose of the pilot study was to identify valid and reliable questions and enhance the researcher's interviewing style. Questions were checked for flow, comprehensibility, and practicality. Usefulness of the handouts from the *Authentic Leader Packet* was confirmed. Results from the pilot study were used

to adjust the interview protocol, update interview questions, and improve the comprehension of the directions on the surveys.

Official Interview

Upon arrival, the digital recording devices were placed unobtrusively for optimal recording. Based on Gillham's (2000) expertise with semi-structured interviews and Chan's et al. (2005) and Shamir's and Eilam's (2005) life stories expertise, semi-structured interviews were selected for the life stories method chosen. Each semi-structured interview lasted three hours, as prearranged. King's (2002) interviewing protocols were followed. After an initial brief introduction and discussion to confirm the focus and direction of the interview, semi-structured questions were used to elicit the information sought (*Interview Questions*, Appendix D). The semi-formal nature of the interviews supported mutually beneficial discussions designed to enhance transparency and trust within the researcher-participant relationship. Participants utilized previous and current notes made prior to the interview based on self-reflections resulting from the *Authentic Leader Packet* (Appendix B). The researcher sparingly took notes as needed for follow-up questions. The interviews were concluded with a promise to send participants their transcripts for member checking with a stamped self-addressed return envelope.

Data Collection, Transcribing, and Coding

Based on Berg's (2001) triangulation strategy for data collection, three types of data were collected using recorded interview data, heard interview data (from the researcher's perspective), and the analysis of survey documentation (*Authentic Leader*

Packet, Appendix B). The three data sources were compared for congruence, authenticity, and reliability to enhance the credibility and dependability of the study.

Based on Northcutt's and McCoy's (2004) suggestions, transcription services were acquired to digitize interview transcripts. The researcher reviewed and edited the transcripts for readability and conciseness of message. After the transcripts were member checked by each participant, the transcripts were coded for affinities (themes). The affinities were identified, organized, named, and supported with quotations from the interviews and compared to affinities previously identified from the literature review. Berg (2001) encouraged using a triangulation strategy to ensure accuracy and authenticity of data confirmability. Triangulating the transcription services analysis (transcribing of data from one format to another), the researcher's analysis (for accuracy of data), and the participant's member checking analysis (for accuracy of data) ensured the accuracy of the data utilized during the interpretive process.

Member Checking

O'Leary (2004) emphasized the value of member checking. Therefore, transcribed interviews, along with a stamped return envelope addressed to the researcher, were mailed to the participant. After checking for accuracy, participants mailed their transcripts back with a confirmation notation of *approved as is*, or *approved with corrections*. Reliability and dependability of interview transcripts, scenario descriptions, and scenario analyses were effectuated through the member checking and triangulation processes. Specific additions made during the follow-up interviews followed this same protocol.

Self-Reflection

Gardner et al. (2005a, 2005b) and Hannah et al. (2005) noted that a strong theme in the literature for authentic leaders was self-reflection, which enhanced self-awareness, supported meaning construction, and enhanced authentic development. After the researcher had received the member checked transcripts back from participants, a period of self-reflection took place. Within two weeks, the researcher called to schedule a follow-up interview with each participant. The previous protocol for scheduling and location prevailed.

Follow-Up Interviews

The follow-up interview followed the same protocol as before for scheduling, location, digital recording device setup, and semi-formal nature. Follow-up interviews were scheduled for approximately one-hour in duration. Through an ipsative analysis for each participant, the researcher identified the various affinities noted from each participant's interview. Collective results from the other interviews were shared to enhance understanding of the multiple authentic leader affinities elicited from their life stories. Each participant received an *Authentic Leader Profile Form* (Appendix E) completed by the researcher based on participant responses, the collective group's responses, and their conformity to the authentic leadership literature and the moral courage and courageous principled-action literature. Any new insights or themes identified through self-reflection and/or follow-up discussion were added to that participant's transcript. Any additions were member checked, coded, and analyzed for new or recurrent affinities.

Data Analysis and Interpretation

Following Northcutt and McCoy's (2004) protocols, transcripts were inductively coded for recurrent themes. Once affinities were identified, they were axial coded, organized into categories, and reanalyzed. Identified affinities were compared with the literature review. A new focused literature review was made for new affinities identified. Interpretations from these themes were then analyzed against the literature to organize the analysis. Graphical representations were designed and used where appropriate. Results and conclusions were documented.

Based on Berg's (2001) discussions of triangulation strategies, the data were triangulated to enhance credibility and dependability. Then interpreted data were analyzed through inductive coding and axial coding that was member checked by participants. Finally, it was recursively analyzed by comparing it to the previous literature review and the new focused literature review.

Denzin (1978) discussed using triangulation strategies during the interpretation process that came from varying perspectives. Hence, the interpretation process focused on analyzing the data from three separate perspectives: the developmental and idiographic perspectives, the individual level of leadership, and the ipsative perspective.

Audit Trail

To ensure accountability, data collection, maintenance, and storage followed Marshall's (1990) qualitative guidelines designed to enhance credibility, transferability, dependability, and confirmability.

Chapter IV. Results

After elucidating the specific higher education challenges faced by each participant, the results of this study were analyzed for conformity to the authentic leader model, and moral courage and courageous principled-action research. Results indicated participants focused on purposes in life, moral compass, value motivators, multiple perspectives, moral purview, and their personal best, as well as the significant events and people who influenced who they are today. These results conformed to the authentic leader model. Results also indicated participants focused on their principles that motivated them to take courageous principled-actions, the risks and dangers they faced taking courageous principled-actions, and the endurance and resilience required to withstand the pressures associated with taking courageous principled-actions. These results conformed to the moral courage and courageous principled-action research. Finally, participants offered personal insights based on the wisdom they developed from their experiences of being authentic leaders who had taken courageous principled-actions.

To enhance understanding of their stories, all six participants described the background and facts of their situation and then analyzed the situation from a senior administrative perspective to place the issue within the context of the challenges faced within higher education. Finally, they discussed the impact and implications of their situation and how their choices and actions and their institution's choices and actions either led to their seeking another career path or being redirected toward another career path by their institution.

Higher Education Administration Challenges

Higher education, as a multi-billion dollar industry, uses shared governance that often minimizes senior administrators' effectiveness while maximizing their challenges. Internal constituencies of administration, faculty, staff, and students put pressures on higher education decision-makers daily. To complicate matters further, external constituencies of state governments, governing boards, alumni, donors, athletic fans, national panhellenic chapters, and law enforcement agencies place severe pressures on higher education decision-makers.

As experienced senior administrators, all participants in this study had multiple experiences with managing the many challenges they regularly faced in higher education. However, their leadership within a collegial, bureaucratic, political, or anarchical institution influenced their probability of effectively managing their challenges. In telling their stories, participants selected the one significant event or series of significant events that led to their leaving that institution by choice or by having their careers administratively redirected. The underlying barrier to their affecting positive change as described by the participants was the inauthentic culture they were working within, which was created and maintained by their type of institution, and the policies and practices of their institution. The administrative conflicts described by the participants varied from problematic issues to immoral, unethical, and/or illegal issues. The most benign scenarios included subtle pressures to do unethical and illegal things, as well as the invitation to support dysfunctional political agendas with abusive and aggressive behaviors. Other scenarios involved immoral practices and policies, while others

devolved into illegal and scandalous investigations within the respective institution. One scenario involved the potential for imprisonment while the last scenario resulted in imprisonment for one of the people involved.

Taylor

Taylor, a senior administrator within Academic Affairs at an anarchical institution, faced an inauthentic culture where unethical faculty and departmental practices, primarily created by the Chair, had permeated the department. Prior to accepting her administrative position with responsibilities over three departments, the faculty from one of her departments had become enmeshed in a civil lawsuit where the Chair, several faculty, and the past administrator were defendants and another departmental faculty member was the plaintiff. The Chair used his authority and influence as chair to incentivize or de-incentivize financially various faculty who were slated to testify at the impending civil trial. He also used departmental assignments and scheduling to incentivize or de-incentivize faculty. The inauthentic climate created by such subtle and less than subtle influencing created a very disruptive atmosphere within the department for all the faculty, staff, and students.

Taylor noted that only after accepting her position did the Chair apprise her of the tensions within the department and that the past administrator was also a defendant in the civil suit. Since she was now the current administrator, she was required to collect and analyze data for the impending litigation. Suddenly she was thrust into the middle of the multiple sides representing the defendants and the plaintiff. Taylor observed that the Chair was often unethical with his biased assessments to her of the circumstances that

created the litigation, as well as the current circumstances surrounding the litigation. The Chair's ability to draw his senior administrator into a situation created before her hire resulted in an atmosphere where there was little trust, minimal accountability, and excessive bias interjected into the short-term and long-term operations of this department. Taylor concluded that the Chair had a credibility deficit that caused him to lack clarity regarding this situation.

Taylor also noted that the Chair had several practices within the department that were unethical and illegal. Hiring a relative on the State's payroll was unethical based on the institutional nepotism policy, but then escalated into illegal practices when the Chair did not require this employee to come to work regularly, but wanted Taylor, as senior administrator, to authorize the payroll certifying this state employee had been at work fulfilling her responsibilities as prescribed by law. Taylor assessed that the illegality of the situation worsened when she determined that the funds paying this employee were federal grant dollars, which compounded the illegality from a state issue to a federal issue.

In the final analysis, Taylor felt that these unethical and illegal practices created an inauthentic culture that bred mistrust, irresponsibility, and eliminated accountability. This untenable situation was a direct result of the Chair's decisions and actions. During her tenure, she blocked the unethical and illegal practices of the Chair and various faculty, but was ultimately unable to effectuate any changes for the positive regarding the inauthentic departmental culture and practices. The continued presence of the Chair overshadowed her influence with the faculty. Determining over time that this was an

inauthentic culture and that this Chair was uneducable compelled her to seek employment elsewhere before the situation evolved from an unethical and minimally illegal situation into a corrupt situation. She voluntarily chose to leave her current institution in favor of an institution with an authentic culture.

Chris

Chris, a senior administrator for the President at a political institution, was confronted with an incoming President who shifted the culture toward inauthenticity by incorporating disconcerting leadership practices. These practices, both unethical and immoral, forwarded a political agenda and fostered a politically-charged culture that benefited the few in power at the institution while detracting from the greater good for the citizenry. She noted that the previous institutional mission, values, and agenda had long been supportive of using the institution's stature and standing within the state to stress education for all its citizens, especially for those of low socio-economic status. Chris felt that the institution's focus on teaching, research, and service had contributed to the social compact between higher education and the citizenry. However, with the coming of a new President came an era of strife and unprofessionalism with a focus on self-interests and a new politically charged agenda that benefited fewer constituents.

Chris realized that personalities within senior administration strongly influenced the level of professionalism and civility, which permeated the culture throughout the institution. She considered the new senior administration's political agenda to be of questionable morality because it redirected some of the institution's resources away from the social compact with the citizens and refocused the institution's resources on a

political agenda influenced by some powerful internal and external constituents. Senior administration enlisted the support of some trustees and alumni to further their political agenda. Chris, as a longtime senior administrator for the institution, had to determine whether to stay and attempt to affect positive change within this increasingly inauthentic culture or whether to leave her position and attempt to affect change through another career path. She understood that the issue of influencing the new administration for the betterment of the institution was compounded by the conflict of interest inherent in the new political agenda. Chris made the decision to stay within her position to try to affect change, even if all she was able to do was to forestall the devolution of the current culture. However, she intuitively realized that to affect change, only a senior administrator who was willing to match aggressive behaviors would have stood a chance of fitting into the culture.

In the final analysis, Chris acknowledged that the strong personalities and questionable leadership practices, coupled with the negative political agenda of the new administration in power, resulted in behaviors that challenged ethically acceptable standards. These practices created a climate of incivility, inauthenticity, and lack of consistent focus on the public good. Chris realized the continued presence of this new senior administration and their practice of including other socially prominent people into the business of the institution to promote a political agenda negatively affected the institution's decision-making processes, mission, and values while detracting from the social compact with the citizenry. Chris stayed and affected change as much as possible, but ultimately had to determine from a practical perspective what she would be able to

accomplish through her continued leadership. After much time, Chris considered leaving this inauthentic culture so she could attempt to continue affecting positive change through a different career path. She and the Administration mutually agreed that she would leave the institution through a change of career.

Lauren

Lauren, a senior administrator within Student Affairs at a political institution, faced a traditional culture that supported conformity based on conservative standards that affected students, staff, and faculty. A traditional policy of non-acceptance based on sexual orientation or gender identity undermined support for certain students, faculty, and staff while supporting a culture that undervalued differences. She acknowledged the overt and covert discrimination and intolerance against certain non-conforming students was the generally accepted practice of this traditional institution, which was supported by the senior administration and the culture. She was aware that senior administration did not support inserting the GLBT designation into the institution's anti-discrimination policy. When the institution was non-supportive of non-conforming student activities and organizations, many within senior administration publicly and privately supported these practices. Many senior administrators, with limited understanding of GLBT issues, found it difficult to be supportive of what they did not understand. Lauren felt that such limiting and immoral policies and practices affected the culture, the staff, and faculty who worked within the institution, as well as the students.

Lauren noted how this immoral policy created harm. Lauren described Jordan, one of the senior faculty in Physical Education who was a national pioneer within her

field, as a person who had always been supportive of Student Affairs and all the services they provided for the students. Jordan had positive relationships with several of the senior administrators in Student Affairs. Lauren noted that Jordan had been diagnosed early in her career with cancer and had been in remission for many years. After over 20 years of dedicated service to the institution, Jordan's cancer recurred with a diagnosis of terminal cancer. She continued her duties with Physical Education, but was incapacitated and hospitalized after a professional conference. Lauren, upon hearing of the hospitalization of her friend, mentor, and institutional colleague, volunteered to stay with Jordan at the hospital for a few days since there were no other relatives available to offer comfort and support. Institutional policy prohibited the use of sick leave for non-recognized (unrelated by blood or marriage) persons, which affected GLBT and non-GLBT individuals alike. Lauren reported using her own vacation time rather than using her sick leave to assist her friend.

Lauren noted that normally such an incident would have gone unnoticed by senior administration since personnel matters of other senior administrators were rarely the type of issues within their purview. However, because of their discomfort of such a non-traditional use of leave time, Lauren sensed that she needed to return to the institution immediately or potentially risk losing her senior administrative position in Student Affairs. She discussed the situation with Jordan and they mutually made the decision that Lauren needed to return to the institution so that she could be there for the students, staff, and faculty who would need her in the future.

Simultaneous to this event, Lauren reported that the institution was cracking down on what they perceived to be inappropriate expressions of student protest against the lack of an anti-discrimination policy protecting the rights of GLBT students, staff, and faculty. Lauren noted that she had just left the hospital and returned to her senior administrative position in Student Affairs when these student protests broke out, which were unaffiliated with her personal situation. The University Police, with the tacit support of senior administration, approached her to identify the students protesting so that the institution could levy individual sanctions against them. Lauren acknowledged that she was following her instincts by opposing an immoral policy of discrimination, the immoral discriminatory practices of the institution to suppress free speech, and institutionalized discrimination while trying to maintain her fiduciary responsibilities as a senior administrator to protect and support students, staff, and faculty from such immoral policies and practices.

Lauren reported that Jordan succumbed to her cancer, and the student protesters were silenced while the status quo of institutionalized discrimination was maintained. Lauren understood her opposition to these policies and practices could put her career at risk. She noted her persistence met much indirect and direct institutional resistance, which she perceived was designed to silence her or dissuade her.

In the final analysis, Lauren felt the institutional policies and practices were harmful and traumatizing, both for her psyche and for the students, staff, and faculty she sought to support and protect. Clearly, the harm and trauma were compounded by the institution's continued support of these immoral policies and practices. She innately

knew that the inhumanity of such policies and practices created personal harm and trauma, negatively modeled inauthentic behaviors, and supported and maintained an inauthentic culture that was normally the status quo at her traditional institution. These policies and practices were both counter to her value system and her most basic expectations for human civility. Based on the totality of the situation, Lauren did not feel welcomed at the institutional memorial service for her friend, mentor, and colleague. For her own psychic and spiritual well-being, Lauren ultimately decided to leave this immoral and inauthentic culture and attempt to continue affecting positive change through a different career path.

Shannon

Shannon, a senior administrator within Student Affairs at a political institution, was confronted with a laissez faire administrative practice regarding Panhellenic hazing policies and practices that had the potential for and had caused harm. She felt that current hazing polices were poorly enforced or not enforced at all, which led to hazing practices that were immoral, unethical, and illegal. She acknowledged that hazing was emotionally and spiritually wounding and traumatizing for both the targeted students and participants and, in some instances, was physically harmful and traumatizing, as well. Shannon perceived senior administration avoided enforcement of the current policies because of the reaction such enforcement would foster from current students, alumni, and national chapters. In addition, Shannon reported that ignoring the state anti-hazing law made administrators individually liable for incidents of hazing. Senior administration's awareness of external pressures caused them to disengage from any analysis of the

internal and/or external consequences. Therefore, she asserted that an inauthentic culture that promoted hazing undermined the very mission of the institution by supporting an atmosphere of hypocrisy and harm.

Shannon reported using her position to investigate the current practices, alerting senior administration of the impact of such practices, and attempting to influence change toward enforcement of current policy. She also pushed for stringent policies regarding the elimination of hazing and the protection of students who were targeted, influenced to participate, or who witnessed hazing. She noted that her persistence was met with much resistance from those in senior administration who she believed were interested in maintaining the status quo. Shannon concluded that current Panhellenic practices had become an accepted part of the institution's traditional culture and that her efforts toward positive change were unwelcomed by alumni, chapter leadership, current students, and various senior administrators and faculty. She became aware of the internal and external constituents who leveled a smear campaign of character assassination against her to silence her and impede her efforts against the status quo. Senior administrators engaged in a public whisper campaign questioning her morality, her relationship with a colleague, and her allegiance to the institution in efforts to derail her credibility at their traditional institution.

Shannon noted that she brought the issue of hazing into the public discourse, even though these deeply entrenched practices and the weak enforcement of policies permitting these practices were strongly supported by multiple levels of senior administration. Over time, the smear campaign of character assassination began to affect

Shannon's credibility and effectiveness. She knew that without the support of senior administration toward positive change, the institutional inertia was insurmountable.

Ultimately, Shannon felt that senior administration's tacit support of hazing practices at the institution through non-enforcement practices created an inauthentic culture and overrode the mission and vision of the institution. She interpreted this lack of concern for enforcing the state's anti-hazing statutes as illegal, unethical, and immoral. When senior administration went public with their opposition and resistance to change, Shannon realized that other opponents felt empowered to speak up and act oppositionally directly and indirectly against her. Her persistence in the face of such oppositional solidarity was courageous yet draining on her spirit. Shannon and the Administration mutually agreed that she would leave the institution through a change of career.

Lee

Lee, a senior administrator within Academic Affairs at an anarchical institution, faced a climate of unethical, immoral, and illegal issues all stemming from practices of the Chair of the department that created a culture of unprofessionalism, incivility, abuse, and illegality. Lee reported that she had administrative responsibilities for departmental operations, finances, and academic quality assurance. Faculty, staff, and student recruitment and retention were also primary responsibilities. She noted that the Chair, who was new to the institution but not to academia, had ethically and morally challenged people skills. He appeared to seek any direct and indirect way to get around policies, practices, and laws that were in effect to support the mission of the state institution where he was employed. Lee perceived, as Chair, he felt he was entitled to have things his

way; to those who opposed him, he was publicly abusive, thereby ensuring their submission or exiting them from their careers. He practiced intimidation and aggression to gain compliance for his agenda.

Lee asserted that state law required public institutions to advertise publicly personnel positions to allow all qualified citizens equal access to state employment. Lee reported that rather than follow institutional policy and state law regarding the public advertisement of such faculty positions, the Chair simply appointed several of his friends to faculty positions within his new department. He seemed intentionally to bypass human resources, his own senior administrator who would have processed the paperwork to ensure funding, and the Dean who was the only person authorized to release the funds for these faculty positions. Without any warning from the Chair, when several new faculty arrived saying they were there to work, Lee knew that the department lacked the authorization from the Dean to open the positions, the funding to pay for the positions, and the prerequisite public advertisement of the positions to stay within the state law. When she asked the Chair about the situation, he replied that he had no intention of going by institutional policy and that state laws did not govern who he would hire as he built up and expanded his new department.

As an experienced senior administrator, Lee knew that many new Chairs frequently were unfamiliar with state and institutional policies and practices in higher education. Such Chairs who were unwilling to listen, learn, and conform to state laws and institutional policies and practices put the institution and the State at risk for financial, judicial, legislative, and social sanctions. Her experience showed that anytime

this Chair was approached about what was being done or how matters could be done more effectively while staying within state guidelines, he sought to silence the individual with extreme verbal abuse and unprofessional behaviors. Lee sought assistance from her institution's General Counsel, as well as the Dean's Office, to redirect the Chair's energies and talents before it further adversely affected the state, institution, and employees of the department. Lee had the experience with this Dean that he was too risk averse and conflict avoidant to oppose one of his own Chairs nor was General Counsel willing to publicly stop the Chair's behaviors, which would bring negative press to the institution and possible litigation from him. In an attempt to silence her, the Chair told the Dean, General Counsel, fellow Chairs, and other senior administrators that Lee was mentally unbalanced, extremely verbally and physically abusive toward him and others, and was clearly attempting to get the department into litigation. Lee understood that the Dean's conflict avoidant and risk averse personality compounded the situation as he followed General Counsel's guidance to silence her as the senior administrator rather than attempt to take a powerful Chair to task. Such institutional actions created and supported an inauthentic culture.

Lee acknowledged her inability to positively influence or limit such an abusive and powerful person who, she noted, had little if any supervision from the Dean. She clearly felt that General Counsel was willing to sacrifice her career in the best interests of protecting the institution, which meant maintaining the status quo. Lee refused to deny the situation by looking the other way; she refused to collude with the Chair; and she refused to collaborate with General Counsel or the Dean by supporting the Chair's

immoral, unethical, and illegal policies and practices. She asserted that she worked within the institution's system to protect the institution's state interests by blocking and reversing the breaches of state law. She worked with other departments and allies to protect the institution's long-range interests of promoting teaching, research, and service.

In the final analysis, Lee knew that having a value system that conflicted with the Chair was an issue of incongruence for her. She believed the most significant issue was the confluence of unethical, immoral, and illegal practices on the part of the Chair, as well as the non-actions of the Dean that supported and perpetuated the behaviors. Further compounding occurred with the aggressive actions of General Counsel, which Lee perceived were designed to suppress the issues from the glare of public exposure. She believed her persistent efforts were far beyond what most senior administrators would have been expected to endure personally or professionally. Lee concluded that her long bout with this struggle was not worth the physical and spiritual expense she had endured for the good of the institution. Lee acknowledged that she never swerved from her path of trying to do the right thing even as she realized the institution's non-support was eroding her professional career. She decided to leave this abusive, negative, and inauthentic culture and attempt to continue affecting positive change through a different career path. She and the Administration mutually agreed that she would leave the institution through a change of career.

Kelly

Kelly, a senior administrator within Student Affairs at a bureaucratic institution, was confronted with historically enduring unethical practices and illegal activities

perpetrated by several members of the coaching staff within the Athletic Department. She reported that the head coach was the instigator for many of his coaching staff's actions and behaviors. She noted that she first became aware of allegations of grade fixing and social promotion from a source outside of the institution. She followed up with a full investigation that revealed multiple degrees of concern, multiple layers of wrongdoing, and multiple people involved.

Kelly determined that student athletes were being registered for and given credit for courses that never existed. Her investigation concluded that they received high grades for these non-existent courses, as well as inflated grades and altered grades for some of the real courses they did complete. Her investigation also reported that faculty were being pressured to alter and inflate grades while students were rewarded for remaining silent about all of the academic perks the coaches were providing. She was able to substantiate that the coaching staff encouraged the student athletes to apply for federal financial aid and then to give their financial aid checks back to the coaches for the coaches' personal use. Kelly reported that when news of the investigation reached the coaches involved, they used their influence to encourage people into silence.

Kelly noted that she was fully supported by senior administration with the investigation of the Athletic Department. However, she reported that once the depth and pervasiveness of the problems became visible, their support for public exposure waned. She was able to persuade them to maintain their administrative support for seeing the investigation through to its end. Outside authorities, the NCAA, local police, and the local district attorney entered the sphere of influence. Over the three years of the

investigation, Kelly acknowledged that she had to collect and analyze the data and then testify in various judicial proceedings. She noted that the extreme pressures brought to bear against her from certain senior administrators, faculty, and students within the institution paled by comparison to the pressures brought to bear against her from many athletes, alumni, and sports fans.

In the final analysis, Kelly reported that she was faced with managing very serious legal ramifications and negative institutional publicity. She posited that much of the extreme pressure brought to bear from multiple sources was designed to maintain the status quo. Kelly acknowledged that bringing these practices and people into the public purview burdened the institution, which terminated several people; one coach was sentenced to time in prison. She asserted that while senior administration initially supported the investigation, the internal and external pressures waned the administration's stamina. In turn, Kelly constantly worried that the institutional support would decrease or turn against her for doing the right thing. Following the investigation and scheduled trials, Kelly and the Administration mutually agreed that she would leave the institution through a change of career.

Authentic Leaders

Introduction

The first four research questions were designed to evaluate whether the six participants conformed to Avolio and Gardner's (2005) Authentic Leadership Model. The researcher concluded that, following cross validation, all six participants conformed to the authentic leadership model and the moral courage and courageously principled-

action research. Each exhibited administrative stands and the courageous principled-actions needed against strong institutional pressures. The research questions were designed to elucidate the themes that the participants expressed through their insights, the actual value systems they used to make decisions, the focus of their moral development, the choices behind their decision to act authentically, and the significant events and significant people in their lives who had influenced them to be the people they are today.

The research questions related to authentic leadership included:

1. What similar and/or dissimilar themes will the participants use to describe themselves as authentic leaders?
2. Which value and/or belief systems did the participants ascribe to?
3. From where did the participants' moral development and foundation for authenticity come?
4. What are the interactions of the trigger events and personal insights that enhanced moral development and authenticity?

Authentic leaders in this study discussed their sense of purpose in life, moral compass, and value motivators that influenced them toward action. Multiple ethical perspectives influenced authentic leaders' decision-making based on their moral development, whether focused on justice, caring, or a balance of the two. They also discussed the use of empathy to enhance their focus and balance on justice and caring. Their moral purview encompassed a focus on other-directedness, transcendence, and universalism. Finally, the type of persons into which they had developed was represented by their personal best, which was influenced by the significant events and role models in their lives. The graphical representation of the results of this study were juxtaposed

against Avolio and Gardner's (2003) Authentic Leadership Model to show concordance between the two models and can be represented as follows in Figure 4.01.

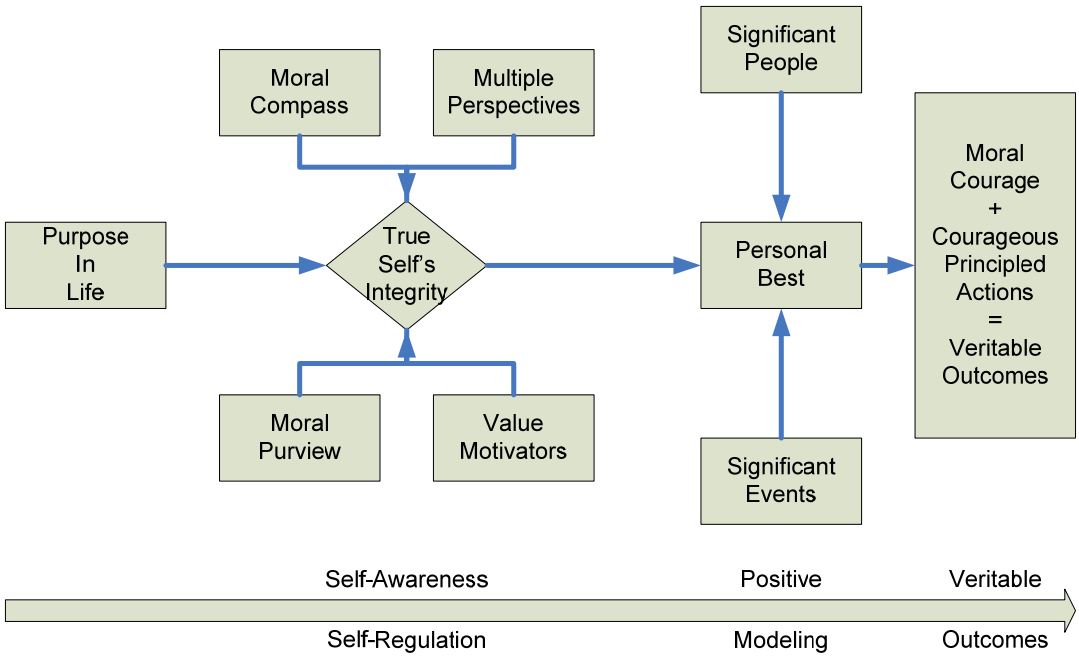

Figure 4.01 Participants' Authentic Leader Model Juxtaposed with Avolio and Gardner's (2005) Authentic Leader Model

Purpose in Life

Authentic leaders in this study discussed how they had a sense of their purpose in early childhood and were driven to develop and act throughout their lifetime based on this sense. Their sense of this purpose in their youth and young adulthood prepared them to continue following this sense of purpose through their professional career. Part of that sense of purpose for each authentic leader was to model positively authentic behaviors based on transcendent values that focused on and promoted the public good.

All six of the authentic leaders in this study selected purpose in life as a significant character strength that guided their personal and professional development. Some recognized their purpose more clearly than others, but all recognized it in childhood and throughout their adulthoods.

In Their Youth

> **Lauren** ~ I think a sense of purpose for me developed over time. I've seen some pretty young ones that have a pretty strong sense of purpose. I wouldn't say that it was immediate for me, but it was developed.
>
> I may not have been able to say exactly what my sense of purpose was early in life, but I surely felt a strong drive that indicated I had it. Later as a young professional, my interests narrowed to helping students.
>
> **Lee** ~ Early on, I sensed a purpose. I know my life experiences have affected who I am today. Everything I do in my work setting has come from my personal life. I think the challenges that I've been presented in my personal life have positively prepared me for my professional life. I've been very fortunate to find a very positive outlet to solve issues in my personal life, to grow in my personal life, and to heal in my personal life. As a result, what I've been able to do is bring that to the workplace. And I consciously bring those things to the workplace. There was a long period of time where I hid in my work. I think a lot of us go through a period in our life where things aren't wonderful at home and we hide in our work. I didn't accomplish a lot doing that except lack of sleep, stress, and self-beatings. But when I learned to deal with and solve things in my personal life, that's when I was able to translate that into my work life -- much better. My life today looks nothing like my life ten years ago or 15 years ago and I wouldn't trade for anything in the world.
>
> **Shannon** ~ A sense of purpose was always important to me. Probably my growing up in the church had a profound impact on it. I thought I was being called to be a missionary when I was 9 years old. If my sense of purpose was not being a missionary, it was working full time in the church. Back then, women weren't preachers so I couldn't become a preacher, and I really didn't want to be a nurse, so that sort of left being a missionary. I was sure that I was being called into full time Christian service -- probably younger than 8 or 9. That sort of became my calling, and when I was choosing my undergrad college, I wanted to go to a Bible college that encouraged public service and missionary work.

Kelly ~ I knew early on I had a sense of purpose. As a matter of fact, I was kicked out of kindergarten twice. I remember quite distinctly wearing black patent leather Mary Janes and white lace stockings and a little blue plaid skirt. My kindergarten teacher would put us in circles and we would read the *See Spot Run* books. I was raised with 14, 15, and 16-year olds, so I could read when I was 3 and I could write when I was 4. By the time I got to kindergarten, I was already reading and writing. It's not that it was boring for me, but whenever they'd put me in these circles, I would be way ahead of where everybody else was so by the time it was my turn, I was never where I was supposed to be. Later, when I learned to stay on track, I would be helping one of the kids next to me read, which would make the teacher mad. That's why I got kicked out of kindergarten -- because I wanted to teach and I wanted to help. My classmates would be struggling and I'd be going, "This makes this sound." I couldn't understand my teacher's problem. I remember sitting in the hallway with my little feet sticking out in front of me going, "What am I doing wrong?" I was very frustrated by that because to me it was very clear. I just thought, "But I'm supposed to help." So, I felt a sense of purpose way back, way back, way back.

Taylor ~ I knew as a kid that there was something I was supposed to do in life. I still haven't figured out exactly what it is, yet I think there is a real sense of purpose. Now, if you relate it back to spirituality, I can tell you that there are things that have happened to me in this job that I could not have wired up. There are opportunities and people, despite what would appear to be adverse situations that were there to solve a certain problem. Maybe some mystery is good. Therefore, I don't know that I really care to know my specific purpose. I can see there's a purpose and I was where I was supposed to be. I will tell you this: I do not feel up until I got into higher education that I was connected to purpose. I was closer to purpose as I got into higher education administration because of the service to others aspect. Everybody always asks if this is my purpose? I ask, "is this all there is?" Maybe, it is. I believe through self-realization that each of us needs to continually ask ourselves what our purpose is in order to navigate where we need to be.

Shannon ~ When I was a kid trying to figure out what I wanted to do with my life -- what was my purpose in being created – I realized it was to make a difference in the world -- to help others succeed -- to help encourage people -- to help people be better than they would be otherwise. I wanted to be a part of helping the world be a better place – to enhance collective well-being -- so there would be more light in the world than there is darkness.

Chris ~ I felt a sense of purpose early in my childhood. In school I took pride in participating in sports and wanted to do as well as I could. Even though I wouldn't have ever been the star athlete, I kind of recognized this so wasn't unrealistic about my limitations in those areas. Ultimately, I've always had a sense of wanting to accomplish things. I have also always taken pride in my life's work.

In Their Young Adulthood

Shannon ~ I ended up going to an all women's university because somewhere deep down inside, I figured out that becoming a teacher was fulfilling that destiny of full time Christian service. Also, at every professional juncture, except in one instance, I really took time to reflect on "what do I want to do next that would fulfill that sense of purpose" and then make a decision to go in this direction or that direction based on that sense.

Lee ~ The three top transcendent character strengths were spirituality, gratitude, and a sense of purpose. I understand my sense of purpose on this earth a lot better than I did a long time ago. I try to let that guide me no matter what I do. My perception of my sense of purpose is three-fold. It's all relational in nature. It's relationship with a higher power, myself, and other people, as well as that the relationship is something positive and worthwhile.

I think like most young people, for a long time I didn't know what I was doing here – what my sense of purpose was. I was here for fun -- not that I don't have fun now. I think it took a long time. I think it took until my early 40s to start to understand that beyond my own needs and what I wanted, there was something I was here to do. It took me a long time to figure out what that was. As far as I'm concerned, I'm comfortable with knowing at this part of my life what it is. It may change. I really believe that my purpose is more one on one, rather than universal. I'm not one that's going to lead a great company or something, but I really think that it's touching one person at a time. I think that that to me is a great sense of purpose for me.

I hope when I touch other individuals that they, then, exponentially increase what I've done. At least, I would hope. What is the saying from the movie, "Pay it forward?" I really believe that that is true. I think my life would be a lot sadder if I didn't believe that.

Kelly ~ I was following my purpose in life when I went into higher education. When I started teaching GED students, I noticed these were the throwaway kids and adults. These were the African Americans and the Hispanics and the poor women -- those whom others had long since discarded. My version of universalism is that it's like a series of cogs. Every cog is meant to be intertwined at some point with another cog in order to make the thing move in the direction that it's supposed to. When one of those people is taken out, or one of those cogs is taken out, it doesn't necessarily stop the whole thing from running but it doesn't run nearly as well. When you take out more of these cogs or if you chip off one of the parts of the cog, then you can be without a couple of teeth on a cog and it's going to run okay, but it's not going to run as well as it would have if it were built the way it was supposed to. Each one of these people that were so easily discarded by someone else -- who failed to live up to their obligation to them as learners -- often became a discarded person. I could put that back. I'm really good at that.

I have never stopped teaching, even since I've been an administrator so, fortunately, I've been able to follow my purpose in life even while in administration. I've taught two or three classes a semester since I can remember because I need to. I need to feel that connection with the students. I really don't trust administrators who haven't seen or talked to students in a long time because I think they make really bad decisions in their students' names and they take their names in vain a lot. I miss teaching when I'm not doing it. I just get edgy when I'm not in the classroom. I have had to make bargains. If I have one class of 30, those are what we call in Spanish, *pollitos*. Those are my *pollitos*. I can keep them under my wings. I know that I'm responsible for their learning and I can make that happen. I've got no questions about my ability to do that. When I become a Dean, then I'm responsible for a lot of chickens, yet I don't have direct contact with any of them. I give up the proximity and the comfort of the proximity in being able to do what I know I can do with each one of those students. It's like I can only touch them once removed or twice removed. I can only make good things happen for them if I'm able to inspire the people who teach them to think about them in a different way.

Shannon ~ I keep asking that question, "what is it that I'm destined to do or to be?" The best I've been able to figure out is that I am to use my gifts of encouraging other people to learn and grow. And I look back on my career, the times that I think I was sort of in that self-actualized place was the time that I was having the greatest impact on helping, whether it was

students or people I supervised or those in my personal life. I would be helping those people find growth, but I was soaring.

Lauren ~ I guess when you hit 50 you start to think more about your mission in life yet in a different way -- so I'm still working on it. People often say, "Do you want to do what you're doing right now?" I do right now because I really like what I'm doing in administration. I don't make all the differences that I'd like to, but then I realize that I'm still making one. Every time I've made a change, like when I quit teaching -- that catapulted me into something I never thought I'd be in. Then, when I went to Boston for a couple of years after my friend's death, I never knew that I'd be back and in this other senior administrative position. I don't think that you can just let it happen, but I think if you think about it and explore options and continue to develop personally, then whatever your purpose in life is will surface. Especially if you remain open to the possibilities.

Chris ~ My sense of purpose this late in my career has led me to the creation of programs within and between higher education institutions that support accessible education for all. I have and am as passionate about this element of my life as I've ever been. I feel that what grew out of my introduction to these programs was inspiring. The things that didn't work, and the thought processes that I've had around these projects for the last seven or eight years has culminated into what we're trying to do today. Raising the questions and starting the dialogue and then having the significant impact on how it's evolved conceptually has proved to be a culmination of my purpose in life.

For me, the major purpose or focus of these programs was to focus on self-realization for the student, which necessitated focusing on access issues. Creating a structure that would support them so they could improve and learn to reason, as well as have economic equality through an extended education, was a primary focus. What's so exciting about it is if it works, it's going to impact many, many students for the better. It's going to have a fundamental impact on all our lives. It's the most important focus we need in our society today. How do we collectively educate our children in the future to be self-actualized and honest responsible members of society? This is really a calling for us to do it in a different way -- to be more successful -- and to create a situation where there will be more success starting early, including starting at a very young age.

The benefit of such a paradigm shift in the way we conceptualize education is for the good of society. It's for a civil society. Unless we

> evolve into a more civil society, we won't be able to succeed. Currently, we're on a trajectory to be diminished and perhaps lead to what I equate with South Africa where there's the *gated community*. If you're within the gate, you're going to be safe until the revolution comes. Yet what all is going on around you is already fraught with problems. I profoundly believe accessible education is at the very essence of a world worth living in, which defines my purpose in life.

Positive Modeling

> **Shannon** ~ I hope that it has been evident throughout my career that I was all about trying to help other people find their own gifts and learn and grow -- find their passion for life -- find their purpose for life. I hope that's been a thread throughout my career, and hopefully, personal life as well. I hope it has been self-evident that I'm a model for personal growth, for professional growth, and for spiritual growth.

Moral Compass

Authentic leaders in this study used transcendent values with an other-directed and universal focus as their moral compass. Their values of integrity, honesty, responsibility, and trustworthiness represented who they were and what they modeled. Their values of compassion, caring, respect, and humility represented how they believed humanity should be treated. Finally, their focus on collective well-being, freedom, and moral courage reflected their other-directed, transcendent, and universal approach to authentic decision-making.

All six participants in this study emphasized that their moral compass was based on particular values that they used to make ethical and moral decisions. The top three values selected by each participant were tabulated. Results indicated that, of the six participants, five selected integrity, three selected honesty, two selected compassion, and one participant each selected responsibility, trustworthiness, caring, kindness, respect, humility, equality, collective well-being, freedom, and moral courage.

Integrity

Shannon ~ The word *integrity* comes from the Greek word *integer*, which means whole, and that references *being true to the whole meaning of truth*. When people consistently act out what is ethical and what is honorable, then that is part of their true self. You act integrity out physically, spiritually, mentally, and psychologically, which acts out from the whole being. People who have integrity consistently behave as a person with honor, dignity, and truth. The goal in life is not just about having others treat you with integrity, but the goal would be to treat others with integrity, as well.

Lee ~ I value integrity quite a bit. I think that was something I was raised with by my Mom who was a teacher. She had a lot of integrity and of course, it's the emulation, I think. She was one of the most honest and full of integrity type of people I've ever met and I admired her for what she did.

Lauren ~ Integrity and being true to myself is very important to me. What's interesting is that I grew up in a very conservative small town setting, so where I got so liberal, I don't know. I do know the way that I was brought up and the people I was surrounded by made a difference. I was eighteen when the vote changed -- when eighteen year olds were allowed to vote -- and I was one of two people selected in my government class to be the first to go down to register. So this friend and I went down and registered as Democrats. It was in the papers and it was a big deal in our small town since I grew up in a family of Republicans. I'm sure that my Mom and Dad were upset; party affiliation just wasn't anything that had been discussed. It's kind of like I was a little bit of a different drummer from the start, but despite that, they were quite supportive of me. From the very start, my dad taught me if you treat people right and live the right way and do the right thing that you'll be okay. Ultimately, I think that's true. No matter what has happened.

Chris ~ Integrity is very similar to honesty -- of being up front with people, following through on what you say you're going to do, and to create a situation where they know they can trust you. Integrity is normally associated with reputation, which can help or hurt a professional career. Integrity is what allows people the luxury of having the confidence to trust you -- to know that you're consistently honest.

Honesty

Taylor ~ Honesty is one of my highest values and is a fundamental of all relationships because you cannot be everywhere all the time watching over whatever it is that's of value or needs to be done. I'm talking about whether it's caring for loved ones or doing business. If someone is dishonest, it corrupts the order of things. Lack of honesty corrupts dependability -- the ability to get things done. It destroys the order.

Lauren ~ I got the value of honesty from my Dad. He was an educator -- a fifth grade teacher. Later he became an elementary school principal so honesty was very important. That's the way he lived his life and that's the way he thought everyone else should live theirs. Yet it wasn't just about what one person thought. I just grew up in a small town setting where teachers taught you that honesty was an expectation. They just reinforced that message and if you weren't honest, then you got punished. I mean there was a consequence to go with it; it was "don't do that" and "don't lie."

Chris ~ I think in a lot of ways honesty is genetically implanted. I can remember some of the early thoughts I had as a child -- that I knew -- I knew the difference between what was wrong and right. I just knew. I've never been able to kid myself, even as a child, about that. It was pretty clear to me that honesty was the only approach to take. I just knew if I could clearly see what was wrong, then I had to be honest about that. So I believe it's just really almost genetically implanted.

Compassion

Kelly ~ Compassion is my primary value. I think that all the other things without kindness are really kind of hollow. Because we are colleges and we are concerned with the intellectual and the academic exercises – our focus on how smart a person it or how rigorous something is – tends to make us think that is what it's all about. It is very easy to lose focus that it really isn't about that. It's about the people. You can make a decision that has integrity to it, but operationalize it in a way that makes it worse or more painful for the other person involved. I just think too often we forget about the people we are supposed to serve, and I just believe in integrity and honor and those other things, but if you subtract compassion out of that … I mean, isn't the whole point of having integrity that you uphold a moral code that serves the people? How people are treated is important to me, not just the ultimate outcome.

Lauren ~ My grandmother taught me compassion. She was a great spirit. I never saw anybody care and feel more about what other people felt and that's one of the things that was really good for me. I always try to think about what it's like to be in another's shoes and then try to put myself there before I judge or make a decision. My position in Student Affairs probably taught me that. I was responsible for multiple student services and programs, including ruling on students' cases. I was scared to death to do discipline. I wanted this violation to equal this penalty and it can't work like that. I noticed that the police report was always the worst possible perspective and that when the kids came in, for the most part, they were great kids. They were from farms and ranches -- then they got a little bit of freedom and made a mistake. Because of my perspective of extending compassion, it was never a punishment deal; it was a teaching opportunity. I would always think about what it was like to be in their shoes -- scared to death. I think that's one of the best things about being at such a senior administrative position -- you can offset those problems before the law shows up. You know what? I rarely had students come back because of the same problem or another problem. Those who did come back came back to say, "Thank you" -- which was the goal.

Responsibility

Shannon ~ When I say I am going to do something, people can count on me to do what I say and have the assurance that I'm going to do it the very best I possibly can. I often do more than is required. My parents taught me that. I was raised to do things right the first time. Girl Scouts also taught me the value of duty and going the extra mile -- to make sure that what you do, you do well -- you do it the right way the first time -- and you do your best at everything you do. People that I admire have modeled that, as well.

Chris ~ I do take things pretty seriously and feel a pretty strong sense of responsibility for whatever I take on. How we manage responsibility really does reflect on one's fundamental character of whether you follow through with your choices. If you're going to say you're going to do something, it's kind of the old adage, "if something is worth doing, it's worth doing right," and that creates a responsibly. Responsibility ties back into integrity. Responsibility and integrity are tied together because integrity implies that you'll be responsible for your actions and for following through.

Shannon ~ Responsibility goes hand in hand with integrity. I can talk a good game about what people should do and shouldn't do and what I'm

going to do, but until I really act that out and behave that way with integrity, responsibility is just a meaningless word.

Trustworthiness

Taylor ~ I think that trustworthiness goes back to that same thing with my Chair. I trusted him. It just still bugs me that he was smart enough and I know damn well he kept the details of the departmental litigation from me when he hired me. If I had known various faculty in the department and the Senior Administrator were main defendants and in the middle of litigation, I might have made different choices for employment. It's just sort of like, "If you keep that from me, what else are you doing?" It's just like in a relationship -- if you can't trust your significant other – you know you're telling yourself, "I'm not going to sit around at work and wonder where you're at." I'm not going to live in that hell.

I think trustworthiness is the same with employees. I have been blessed with some really good people. They're not people where I'm having to try to undo some rotten moral character. One thing I've noticed about my new institution is it attracts pretty nice people. I feel like I can trust them. I feel like I can pick up the phone and I can ask any one of my employees right now to do something and I don't have to ask them a second time. I can trust them. And they trust me. They trust that I wouldn't be asking them to do something if it wasn't important. I think it's the same thing in a relationship. If you can't trust them, you can't do business deals. You can't have a relationship if you're just always fearful. It is a fear driven second-guessing life that I am unwilling to live.

Caring

Lee ~ Caring is a very important value to me. I truly do care about other people. I am a people-person and I do care about others. Good, bad, or indifferent, I've learned over the years that everyone has a lot of value and things to give to society -- to me and to others; so I do care about other people. I think that's why we're here on this earth.

Kindness

Chris ~ I think kindness can have its down side, as a lot of things do, but I fundamentally believe that it is important universally for society. I am one who is not very comfortable with conflict, even when it appears to be necessary. I'd rather people stay calm, keep their voices down, and reason with each other. Just the fundamental issues of being thoughtful of others,

trying to be sensitive, and avoiding doing things maliciously are important to me.

Respect

Lee ~ Respect is also one of my strongest values. I saw how other people treated my mom and how she treated them. That taught me a lot about respecting other people and what they had to say and also respecting myself and caring enough about myself to want to present well.

Humility

Kelly ~ Humility is important, too. I've had people tell me that they find it annoying that I am self-effacing. I wrote a book on integrity and I struggled with the preface. A friend of mine who is a professional editor said to me, "Kelly, you're supposed to be the expert. You've written this whole book. So just say it like it is…just call yourself an expert." Yet, in the preface I said I am not an expert. This book was born from sadness. It was born from tragedy. It was born from bad things happening, and I wrote it because I don't want other bad things to happen to others. But I still don't see myself as an expert. I see myself as a survivor.

I am very nervous around people who acquire a title and who, therefore, believe that they are somehow part of an untouchable system. And I've seen that! I've been in higher education since I was 17 years old, first as a student and later in administration. I've had the fortune of watching some notoriously bad people function in leadership roles -- I've seen what they do and I've seen the impact it has on people. Therefore, I've just made a very conscious decision that I'm never going to lose sight of the fact that I started as a confused little girl in a community college. And, while I might not be confused any more, and I might now have a *comma, Vice-President* after my name, and I'll probably be a president soon, I just think it's important to keep all that in balance, because the farther up I've gone, I have found that people find it more difficult to engage me. Not because I'm acting differently, but because I have to carry the title around. You know, on a day-to-day basis, I consider the people I work with my friends. We have lunch together, we talk, and we have very good relationships. I'm very proud of that. But, occasionally they'll tell me, "But, you're the boss. I'm scared to ask you this because you're the boss." So, I'll say things like, "I put my pantyhose on one leg at a time just like you do." It's not about this hierarchical barrier. So humility is important…in your personal life and your professional life.

Equality

Chris ~ Equality is a strong value in my life. I think of social justice, caring, and other values as part of equality. I really do feel strongly about it. From early in my childhood, I have had a respect for people and their differences and an understanding that no one is inherently better than another. I found that equality came closer to expressing the fundamental value that I live by than the values of caring or social justice.

Collective Well-Being

Shannon ~ Collective well-being is about more than how I feel. It's about humankind. There are enough people out there that if enough of us are *good* -- if we try to live in the light -- then collectively we're going to make the world a better place -- a place where kids can grow up believing that there's hope.

Freedom

Taylor ~ Freedom is not necessarily important to all people. It is highly ingrained in me, though. I don't know if it was genetic or if it was a result of my family. You know some kids respond to being controlled in different ways. Some kids will submit and some kids will extremely rebel. I think I rebelled in a verbal way. I was very highly opinionated toward my parents and I think I was smart enough that as I got older it was pretty hard to deal with me. In other words, I wasn't staying out late, I wasn't smoking dope, but by God I back talked big time.

If you're fiercely independent, you'll be forming your own opinions. All that back talking and arguing with my parents actually benefited me. Once I got into working with these very powerful faculty who thought they could actually do anything they wanted, it was in the back of my mind that they were trying to control me, so there was a natural tendency to do whatever I thought was right. I just wasn't wired up to be submissive and maybe that was to a fault.

One of my fellow administrators asked me one time, "What's the most important thing?" And I said, "Freedom." I really didn't think about it, but I don't mind doing a good job for an employer. I don't mind doing what they ask me to do, but there is something about me that is so fiercely independent internally -- not to the point where it destroys marriages or "I ain't coming to work until noon today." Not like that, but it's almost like I don't do too well when I don't have freedom.

Moral Courage

> **Shannon** ~ Moral courage relates back to integrity in a very significant way. My favorite quote by Amelia Earhart is, "The price of peace is courage." If we fail to again act out what we believe is right, true, and good -- if we don't have the courage to act responsibly – and the courage to help make the world a better place -- then we're not going to have peace individually, and certainly we're not going to have a peaceful planet. The only place that I can express moral courage is to start with me being able to act on what I believe is good, right, and true.

Value Motivators

Authentic leaders in this study used their transcendent value systems to motivate themselves into action. Their focus on personal and professional growth motivated them to use self-direction (independent thought and action), stimulation (seeking challenges), and achievement (competencies) to acquire the skill sets necessary to follow their purposes in life. Universalism and benevolence (focus on enhancement of the welfare of others) motivated them to be other-focused and transcendent when prioritizing decisions, resources, and actions. Then, tradition (acceptance of customs) and security (harmony within relationships) were additional motivators for some of these authentic leaders. Finally, social justice was a primary focus and motivator for all six of the authentic leaders in this study.

All six authentic leaders in this study emphasized how they were encouraged to act upon their values by the motivators of self-direction, achievement, universalism, stimulation, benevolence, tradition, and security. The top three values motivators selected by each authentic leader were tabulated. Results indicated that, of the six participants, five selected self-direction, four selected achievement, three selected

universalism, two selected stimulation and benevolence, and one leader each selected security and tradition.

Self-Direction

> **Shannon** ~ If anybody told me that I couldn't do something, it was like, "watch this." In graduate school when I was working on my doctorate, my fellow graduate students used the word *driven* when referring to me. If somebody shows me that something can't be done, then I really get in gear to try to prove I can do it. I'm pretty independent about most things in life.
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> **Lee** ~ The opportunities requiring independent thought and action (self-direction) are motivators for me -- I need a lot of autonomy to develop. I think any of us do; I don't think anyone can develop us except us. I think we have to have a tremendous amount of autonomy, as well as those opportunities to exercise independent thought or to at least recognize those opportunities. I think self-direction and stimulation go together -- that you have to be stimulated in order to kind of go, but you have to kind of go to get stimulated. I just think that you've got to be self-motivated and have a lot of opportunity to be on top of things to do that. You have to be open to the opportunities as they come up. That's partially where the stimulation comes in. If you don't recognize the stimulation, then you're not going to act on it.
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> **Kelly** ~ Self-direction is important because of the opportunities requiring independent thought and action to choose, create and explore. Sometimes there are policies that are wrong. For example, our college has an award that we give to one full time faculty member a year from the total pool of all full professors. At graduation, the honored professor gets a $2,000 check and an acknowledgement, which is a big deal at our institution. We've never thought of honoring associate faculty. That's not because we don't think they're important. It's just because that's how it has been done for the last 20 years. When you're in my job, you look around and go, "You know, about 60% of our faculty members are associate faculty and nobody ever acknowledges them. Why don't we acknowledge them?" I think if you sit in this chair and you never have an original thought about how to improve something, or never ask a question about why it's done that way or how it could be done better, then maybe you're not living up to the expectations of the office.
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> **Taylor** ~ Self-direction gets back to independent thought and action, which motivates me. People who were generationally independent people

who homesteaded this rugged area raised me. I think that although my parents were strict on me, there were things they did that created and fostered my independence.

Think about it. A focus on self-direction often leads people into leadership positions. If you're not like everybody else, you're either like a social outcast or you're leading. It's either one or the other 'cause it's pretty hard to just sit there and just be different. You're in some bucket and when I twirled, you know I didn't end up being like all the other twirlers. By the time I was a senior in high school, I was feature twirler; it was not in my nature to be team-oriented. A lot of people are nice people, but they're lone rangers. I was pretty much a maverick. I had friends, but I was a lone ranger; I was doing my own thing.

Lauren ~ I thought that self-direction was an important motivator for me because you want to be good at what you're doing when you're doing stuff like that. I believe that's how I ought to model things for other people. I think I'm a pretty independent thinker so self-direction really fits. I think that people need to have choices and I just think, "it feels right." It feels the way I believe and the way I would like to model for other people.

Achievement

Shannon ~ It's nice to be recognized for achievement. If the people that I respect the most show their appreciation and indicate that my efforts made a difference, then that's good enough for me. I'm not one of those people who is just satisfied with the intrinsic achievement. I know when I've done really good work and that's really important. But it's because I'm an extrovert that external recognition leads to my sense of internal satisfaction. I need other people to at least acknowledge and recognize that my achievement was above and beyond. I don't have to win the Nobel Prize, but a little bit of acknowledgement from the people that I respect motivates me onward.

Lee ~ Achievement is a big motivator for me. I don't know too many people who don't like to succeed at things, to achieve, or feel like they have succeeded. My definition of success has changed over the years. What I perceived as success many years ago -- climbing the ladder and money -- when we're younger or when I first got out of graduate school -- are much different than how I define success now. My definition of achievement is much different now. It's much more personal. It's, "Do I enjoy what I'm doing?" "Have I positively done something today that might be positive in someone else's life?" "Do I go home and sleep well

at night?" and "Do I enjoy a balanced life?" I work on balancing my life with work and pleasure. So, to me that's achievement; that's the kind of achievement that I'm thinking about. I no longer would want to be the CEO of anything.

Taylor ~ Achievement started really early on in life as a motivator. It started out with piano lessons, which went on for ten years. And then it went on to twirling lessons for a few more years. Then you get your degree and then you get kind of bored -- and then you go and you get a pilot's license and you bike ride. There's just this litany of things -- you take pictures and you get published.

Some of my achievement has been about personal growth and some has been about professional growth. Over the years, it has switched. Early in my professional career, I had to make professional accommodations for my husband, so there was no professional growth potential. You just do what you have to do when you are in a dead end job for eleven years. Yet, there was some personal growth because you just went home and did other things where you got satisfaction. Then, later I got into senior administration in higher education. There was more professional growth there. In higher education, there was not as much personal -- I'll say creative personal growth. Maybe personal is, "What kind of person am I? What type do I need to be to be more effective?" You want to be a leader that people want to follow, not one that dictates. You want to be a leader of vision with people who are responsible that want to follow you because they see a vision and want to be a part of it. You don't want to be a leader that is controlling.

I don't have time to be as dysfunctional as the President I worked with. I don't want to ever hurt people's lives like he did. I fundamentally believe that such behaviors toward others create a legacy beyond your time – no matter where you are – and I seek to leave a different kind of legacy. So, achievement is just being driven. You're just driven.

Lauren ~ I was honest enough to put achievement down as a motivator even though it kind of feels self-centered. I went back and forth because it's really hard for me to talk about me. I just thought, "Man, that's pretty selfish." But, it's honest. You work hard to try to be confident. If you're not good at what you do, how successful can you be? If you're not successful, can you really make a universal difference? The odds are that you can't. You'll find a lot of these people who take on such responsibility are high achievers and over achievers. It's not just because they want to be able to make that difference; it's because that's who they

are. They are the ones who will move into territory that's more risky to make a difference.

Chris ~ In achievement, I do feel that I do want to achieve things and am driven by that to a certain extent. I don't think it's the major factor, but there is self-interest. I do feel good about doing things and feel good about being recognized. It's not egotistical when you're good at what you do. That's often why people get into the positions that they do – so they can make a big difference by doing what they are good at.

Universalism

Kelly ~ When I think about universalism, I focus on the protection and the welfare of people and nature. I really think that we were created perfectly and meant to live in unity. We've screwed it up with competitiveness and money and pride and just so many negative things that we don't have an understanding of our job anymore. Our job really is to take care of one another. That's how I see it.

Lauren ~ I think that universalism, looking at the big picture, is where you have to start. I think if you don't have the large goal in mind, then, it's really hard to know what to do. You can make a difference without being motivated by universalism, but the path is different and what kind of difference you make is not as significant.

Initially, I focused on that individual that was across from my desk. Later, I was teaching a leadership class to a larger group so they wouldn't think that administrators were just about discipline. Also, we did research on why kids came to college and ultimately, this research benefited many more students; it was for a greater good. You hoped that there was some value to the students and society that came out of that experience, not just in the classroom but beyond that -- that they were going to go out and make a difference. It was a more universal focus.

Stimulation

Shannon ~ I have to see that I'm doing something better – new -- that I'm building. I'm not a maintainer. I'm not done learning -- ever. So stimulation is important to me. It motivates me.

Taylor ~ Having stimulating opportunities in life keeps me motivated. I had this problem. I was bored every day of my entire life. I was bored all the way through school. If you look at some of the things I've done, there is a high degree of stimulation involved. There's some risk in flying. I

mean I did that, I don't deny it. I kind of miss it -- actually I do miss it, but I'm not willing to spend the amount of time I did. Professionally, they told me, "You're an agent of change." So I asked, "What is that?" For better or worse, I think that I end up in situations that are always with change. I think that gets back into my need to have some stimulation or a fair amount of it. Security is a good thing. It's probably the self-governing thing that keeps things like stimulation in line. In other words, I guess if I didn't have a high need for security, I might have gone off and done some high-risk things in business or careers. You know you could either be very wealthy or very poor if you followed that path. If I hadn't moderated some of this, I wouldn't have been able to maintain a good family life. I think security helps on some levels.

Benevolence

Shannon ~ Benevolence is important to me. I like the whole idea of *enhancing* the welfare of people, because that indicates growth. It indicates that you're empowering people to believe, to understand what's important, understand what's quality, and understand how to do their best. I think I am motivated to encourage others. I think that the gift of encouragement can lead others to work on their own personal growth. I think encouragement can do that.

Kelly ~ Benevolence in the world is essential. I don't think people are put into positions of authority to gratify themselves. There's a line in the movie, *Braveheart,* where the lead actor is yelling at the elder Scotsmen. The lead actor says, "You think your positions exist to provide you with wealth and title? I think your positions exist to provide freedom to the people you were put here to serve." The students, and to some extent the faculty and the staff, rely on people who sit in administrative positions to do the most right thing for them. They don't have the power to do that themselves. They might have some power, but they don't feel like they have any. They look at people who hold positions like mine and have to believe that we operate with their best interests in mind. And I profoundly think we should. Yet we don't often enough. I am talking about everyone here in a universal sense. I think of them within the context of society as a whole -- I don't mean just the people in my office. I think of every head on my campus sitting in every class. That's who we have an obligation to be benevolent to.

Security

Chris ~ If we don't have fundamental safety and stability as security implies, then we don't have much of anything else. Issues of security

bring to mind Maslow's Hierarchy of Needs. If we don't have security, so many other things can't happen. A part of security is also working toward harmony within relationships. What I would like to see the world have is more gentility and harmony and working together. There are people who love a good argument and I'm not one of them. I'm not energized by contentiousness. I can argue, but it's not something that I like to do. I prefer to avoid confrontation and conflict when possible even in and around issues. I think that creating an environment where people are more likely to be able to reason together so as to create and maintain a more civil society is my ideal.

Tradition

Chris ~ I value tradition because I like the notion of continuity and of having or building on things that have come before. You don't need to be constantly recreating or trying to change everything. Also, there is the convenience of tradition. You get comfortable with how things are – the order inherent in what has already been tried and deemed good. With such traditions as the Church, if they heed their core tradition based on the New Covenant, there is such a wonderful and rich tradition that I don't want to see it just thrown out and destroyed. And yet I am realistic enough to understand that sometimes change needs to come, but it needs to be in the context of that tradition, as well. It's trying to find a path that blends into the change that isn't just a radical departure from the known. Yet I've always said I reserve the right to start a revolution, if needed, and I do. I think there are times when something drastic has to happen. But I think those times are fairly rare. But when the time comes, like during the Revolutionary War, go for it all the way. My natural tendency in the world is to have a more cautious and fundamental nature.

Social Justice

Lauren ~ One of my character strengths revolves around a strong sense of justice. Equity is a strong core value related to justice. In addition, I've worked really hard on leadership from the developmental standpoint. I think leadership is so intriguing and there's so much to learn but, ultimately, my strongest strength would have to be regarding equity.

Being a female and classified as *other* may have had something to do with this focus. Possibly I would have been focused that way anyway, but I'm sure I've been influenced by feeling like I've been treated unfairly at certain points in my life.

Multiple Perspectives

Authentic leaders in this study used multiple perspectives to determine right and wrong, prioritized their values based on the situation, sought a solution that was win-win when there were competing *right vs. right* dilemmas, and then used these decisions to act for the good of society. Multiple ethical philosophies were paired with a balanced moral development focused on justice and caring enhanced by high levels of empathy.

Ethical Philosophies

Authentic leaders in this study used multiple ethical philosophies for decision-making. Direct and indirect enhancers for working toward the good of society were prioritized by self-realization (prioritized based on personal and professional growth), spirituality (prioritized based on spiritual growth), divine law (prioritized based on following religious teachings), consequentialism (prioritized based on focusing on outcomes), natural law (prioritized based on understanding the inherent order of the universe), and deontology (prioritized based on an innate sense of right and wrong coupled with a universal sense of moral duty).

All six participants in this study emphasized how their ethical philosophies were used to make ethical and moral decisions, often of the right vs. right ethical dilemma paradigm. Given a choice of six ethical philosophies, each participant selected two to three philosophies that they used, underscoring how they used multiple paradigms to broaden their perspective. Each participant's ethical philosophies selections were tabulated. Results indicated that, of the six participants, four selected self-realization,

four selected spirituality and/or divine law, three selected consequentialism, two selected natural law, and two selected deontology.

Self-Realization.

Taylor ~ Self realization has always been big with me. This started back probably when I was a teenager. I read books and reflected on ways to improve myself -- I'll admit it. I even went to a motivational leadership event by Tony Robbins -- and I like everything he does. I like to watch Dr. Phil even though I don't watch TV very much. Maybe to a lesser degree in the last five years, there's things that I did, like flying and photography, that were solely about personal growth, like "Who am I? How do you fulfill your potential?" I think a lot of that goes back a lot to childhood when my dad made the statement, "You need to be somebody." I could read some negative things into his statement. "Am I not enough, Daddy?" "Do you not love me just the way I am?" But, you know there was a real underlying message -- some good and some negative -- that you need to be somebody and be somebody in their terms. As a kid, that's how I just interpreted it.

A lot of things I've done in my life were to meet my potential. In a lot of ways, you're just driven. I don't know where this comes from. It comes probably from early childhood. I mean I don't feel like I have to do things to please my father any more. And I don't feel like I need a lot of recognition or anything. I feel like I've done a good job and if they don't like it, so what? I've almost developed a sort of, "I don't give a shit what you think" attitude. It's not because I don't care, but I feel like I've done my part and I continue to do my part. I know that I'm not perfect and I continue to self-evaluate. On the other hand, in self-realization there's always this itch. It's like I'm not quite done with what I've been meant to do. Like, "What is my purpose?" What is it? It's sort of like there's always something more. And that sense ends up with me being a driven person.

I think this self-realization is different from success -- I don't feel driven by success -- but it's almost like developing to my potential is never enough. In some people, it's never enough money. It's not that way with me. Money is a measurement, and I'm not going to deny I don't like it, but it's beyond that. As a matter of fact, my biggest problem is I don't have enough time to do the things I want to do.

Lee ~ Self-realization is important. I think that the best way for me to have a positive influence on other people is the way I live my life and the

way I develop myself because I think that people are much more affected by our actions than our words. They only listen to our words when they buy into our actions. I can sit here and tell you that the sky is green all day, but if you didn't believe my motives -- you wouldn't ever believe my words. So, I think our development will indirectly or directly affect others. I know that whatever I do in a positive way for myself -- that's the only real way I can reach other people.

Chris ~ Self-realization is about more than me. I don't think that I am driven by a heavy dose of self-interest. I've got some self-interest and I admit that freely, but it's not like a driving force. It's not me against the world or winning at all costs or anything like that. So self-realization or personal and professional growth has always been important to me. If I don't improve myself as a person, how can I make a difference in the lives of others?

Spirituality and/or Divine Law.

Chris ~ I am influenced by my religious beliefs and find a great source of strength in the New Testament. I definitely make a distinction between Old Testament philosophy and New Testament philosophy. I've given a lot more thought to this in the last 10 or 15 years. I realized the basis of my religious belief is clearly embedded in the New Covenant. My fundamental question to anyone that wants to debate is, "What part of love your neighbor as yourself don't you understand?" I'm uncomfortable with the fundamentalist approach that Divine Law often implies. The degree to which it focuses on the importance of religion, of belief in God, and the New Covenant is profoundly important to me. I have grown more comfortable over time with expressing this ethical philosophy in the Christian context and have found a great source of strength to that choice as I've grown older. Both of my parents were Christian and active in the church, but I felt there was a missing quality to that discourse. The behavior of a true Christian, as a believing Christian, is to be kind to others as you are kind to yourself – or more so.

I believe that actions occur as a result of people's belief and that change needs to come in this world. If I was confronted with an ethical or moral dilemma not covered by New Testament teachings, I would still be able to make a moral or ethical decision based on my value system. I'm not a Bible scholar and I do not believe in the inerrancy of the Bible. My view of the Bible is very liberal. What I'm describing is perhaps a contextualized version of divine law based on the New Covenant, not the Old Testament philosophies. Yet, in the context of ethical decision-

making, the importance of religious belief is a very strong part of my decision-making processes.

Shannon ~ I looked at the Divine Law philosophy and reframed it as spirituality. I certainly acknowledge my faith has framed my ethics, my morals, and my vision of what's right and what's wrong. My own personal faith, framed as spirituality, has given me the freedom to try to understand and extend grace to people within a moral context without it being a fundamentalist approach to "here are the rules -- here's the white and here's the black."

Lee ~ The religious teachings I learned throughout life have given me an ethical perspective. I carry that sense of knowing with me everywhere. It has been a learning process. It's certainly something I wouldn't know as a youth as I do now. But everything that I am and I do is a result of my higher power whom I choose in my life to call God. Now, I know everybody else has something. And I will tell you that I always try to look at my motives and I try to look at what He's given me and what I think He would want me to do when I try to make decisions. I think that's become stronger and stronger. I'm really glad because some of my administrative experiences haven't been so positive. Even though the experiences haven't been so positive, the belief in a higher power has become greater. Just knowing that there's lessons to be learned; that people are put in our life to teach us; people are put in our life to teach us what not to do as well as what to do.

Yet religious teachings may not cover all the different complex administrative situations administrators encounter. Therefore, I'm a huge believer that religion and spirituality are separate and apart; that religious teachings are not always something. There are many religious rituals that I wouldn't believe in doing. But I think the spirituality of our relationship with a higher power is where I derive my decision-making from. Religion is a lot about rules and that's not what's important. I think it has a place in our tradition, but I think what's important to me is that relationship -- the spiritual.

Taylor ~ Divine law was something that I really identified with, but am redefining Divine Law less about religion and much more from a spiritual level. Only in about the last three years have I really had more of a reconnection with personal faith. The morally driven employers I currently work for just introduced a lot of faith driven values into the way they lead.

Shannon ~ My spiritual growth has been a big part of my personal growth. You have to have a plumb line for knowing what that good and honorable thing is. Sometimes you get it from being around good and honorable people. You pick up on it. I've had the privilege of being around some people who shared that kind of moral compass that was framed by their spiritual philosophy -- their faith. So, definitely, my spiritual background and framework have given me a moral compass in which to operate.

Consequentialism.

Kelly ~ Consequentialism is one of the ethical philosophies I follow. In my everyday life I don't really have to stop as much as I do in my job and weigh the consequences of my decisions. It just amazes me how often in my job I have to stop and think, "what is the right thing to do?" And then decide whether or not how it's going to go forward is in conjunction with this or at cross purposes with that. And, if it's at cross purposes, then trying to get it to line up so that it can move that way. It's literally dozens of times a day. So, when consequentialism talks about actions based on the philosophy of acting for the good, which will determine the right, I know that's what I do. I look at the end and say, "where are we trying to get to and what will it take to get there in the right way?"

Lauren ~ The part that struck me the most about consequentialism was when I was talking about acting for the good being the end, which would determine the right and the means to get there. Of course, I recognize that determining which good you're striving for is the determinant. That's going to be different for every person and that's okay, but how do you know it's good?

Consequentialism focuses on the end result -- how many people are impacted. Sometimes when you think about that, you have to start by helping the smaller number to get to the bigger number.

Chris ~ Consequentialism is about considering outcomes so that you can determine the right approach to the problem. I do think that the outcome of what we do is important. When I really think about how I operate, I'm more interested in the outcome than the means to that outcome. It kind of goes to the whole notion of fundamentalism, which Karen Armstrong, author on various contemporary religions, has said is the lust for certainty. Lust within this context is a wonderful word to choose because it's one of the seven deadly sins.

Natural Law.

Kelly ~ Natural law is another ethical philosophy I use. I'm always talking about the universe and the threefold law of the universe. When I was younger, right out of undergraduate school, I worked in a coin store. It was back when buying scrap gold and silver was real popular. We'd go to the restroom and there would be buckets of scrap gold lined up against the wall in the restroom. You could have filled your pockets with that stuff and taken it to another place and sold it. It would have been very easy -- very, very easy. I was living in an apartment for $120 a month and living on seven cans of chicken noodle soup a week. I could have easily justified it. But I was always afraid that whatever stupid little, piddly piece of change I might make from stealing was going to come back at me in some way that was going to be three times worse. It's the natural law of the universe.

I really believe that the universe wants us to act justly with each other and wants us to act compassionately with each other – to be our true self. We have allowed our own vision of that true self to become blurry by the complexity of the context in which we live. It just becomes easier to say, "I deserve that," or "I work hard and they should pay me more so I'm going to take it." There have just been too many times that has happened to me. To this day, when my secretary does my mileage, I check it and double check it. She thinks I am so pathological about it! My reply is and always will be, "My luck doesn't run that well when I fail to act well." I will be on a road driving somewhere in the blackest of night and all four tires will pop off my car if I do something against the universe. I know this. I just don't want to risk it.

Lauren ~ I believe in natural law because there's an inherent order -- I mean that there's a much bigger picture beyond sitting at this desk and moving paper. I don't know exactly what that is, but I believe that it exists.

Deontology.

Shannon ~ I would say deontology certainly is a driving factor in helping the whole self-realization thing, because without knowing that, I don't know that you could move to the self-actualized place that Maslow is certainly talking about.

Lauren ~ My ethical philosophy is deontology, where the moral principles are stressed and there is a strong sense of moral duty. Each of

> us has an innate sense of right and wrong. We each have inside of us this moral duty.
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> When I was pushing to have anti-discrimination policies enacted, I knew it was the right thing to do. I don't *think* that sense of knowing is innate; I *know* it's innate. I don't feel like anybody's ever said, "You've got to do this." I feel like it is just somewhere deep down inside of us. You just know. Since it was there, it just got reinforced by my family and my other life's experiences.

Moral Development

Authentic leaders in this study used multiple perspectives that enhanced their moral development by focusing on Kohlberg's ethic of justice, Gilligan's ethic of care, or a balance of the two perspectives. In addition, high levels of empathy enhanced and balanced the focus of justice and caring into a universal transcendent other-focused perspective.

All six participants in this study emphasized how their moral development was the foundation for their value system and ethical philosophies used to make ethical and moral decisions. Also, on a scale of one (low) to ten (high) on empathy, five of the six participants self-reported their levels of empathy between 6.0 and 8.0 with the one outlier (2.0) being the youngest participant. Given a choice of Kohlberg's ethic of justice, Gilligan's ethic of caring, and Hoffman's emphasis on empathy to balance justice and caring, five of the six participants picked Hoffman's emphasis on empathy to balance Kohlberg's ethic of justice and Gilligan's ethic of caring. The sixth participant, who was a pioneer at her institution for trying to develop an anti-discrimination policy for GLBT students within a very traditional culture, selected Kohlberg's ethic of justice with Hoffman's emphasis on empathy to support a compassionate version of justice. The

priorities for moral development selected by each participant were tabulated. Results indicated that, of the six participants, three selected caring as slightly more important than justice (empathy ratings of 6.5, 7.0, 8.0), two selected justice as slightly more important than caring (empathy ratings of 2.0 and 6.0), and one selected justice only (empathy rating of 8.0).

Justice Enhanced by Empathy.

Lauren ~ For me, a sense of justice outweighs a sense of caring, compassion, or duty. I want things to be fair and right. From the big perspective, I don't think there's any question that that's where I want to leave my mark and make a difference.

Having empathy can help you keep your sense of justice in perspective. Sometimes, high levels of empathy can be a handicap. I think empathy involves emotion and I think if you're not careful, then you act on emotion and not rational decision-making and thought processes. I think it's important to have empathy, but I think you have to be careful and have a sense of understanding that plays into it before you go relying on it. Balance is important. Yet, once you get in balance, you worry that it's going to be out of balance again. You have to figure out the equation to maintain that equilibrium.

Caring Balanced with Justice.

Shannon ~ Care and justice need to be balanced. On a personal level, I would choose harmony over justice. But from a little higher level, I would say that without justice as a plumb line where everybody has opportunity and fairness and equal treatment, it's very hard to deliver care. Which means that there have got to be a group of people in the world that help take care of people who are not given justice. So, we need strong people advocating for justice, and we need strong people advocating to give the disenfranchised people that aren't there yet the opportunities to get there, as well as maybe a little extra help.

Kelly ~ When I consider which is more important, caring or justice, I have to answer such questions paradoxically. Can you have justice without caring? Yes. Can you have caring without justice? No, because if you really care about somebody, they would have justice. I'd put caring slightly ahead of justice but only for that reason. I'm not so liberal that I

don't think people make their own circumstances difficult sometimes, and that any amount of caring cannot necessarily get them past that. When I talk about caring, I talk about people who are oriented toward doing better -- who are putting themselves in a position to try to do better. They deserve that care because they've already acknowledged what they have to do to make their own lives better. I don't think people should just get things handed to them for nothing.

Chris ~ I would be more on the care side with justice coming close behind it.

Justice Balanced with Caring.

Lee ~ Justice and caring are not an either/or. I think if you don't have balance in both, especially caring, I think you can care someone right into the ground and I think that's not very kind at all. So, if I had to choose one it would be justice, but I would prefer to think that they were pretty equal. Therefore, in my case, when I empathize with someone I understand the reality of the situation – whether to extend caring or justice. I know how far I can go and how far to step back because that's part of being equitable, too. Fair is to step away.

Caring and Justice Enhanced by Empathy.

Shannon ~ When I was younger, due to limited empathy, I didn't operate from much of a great principle of mercy. I thought I knew the right way -- and you can do it my way or you had to be evil. I mean, there wasn't anything in between. So, I have certainly learned through the years that that's not where I want to live. You can't really be compassionate and empathic if you believe there's only one right way. Nobody's going to ever live up to all of that, so I had to discard this adolescent way of thinking in order to personally grow. I'm certainly way more tolerant and accepting of myself now; therefore, I've become much more compassionate toward myself and others.

Lee ~ I can empathize with your situation, but I also realize at the same time that I can't cure it and I can't fix it. This is your path. I don't let empathy overwhelm me because I think that you do get buried if you do that. It's not realistic.

Kelly ~ While caring is slightly more important in my life than justice, I must say that a certain level of empathy is necessary to support both focuses. I still remember walking up to the community college where I first enrolled. I know I was terrified. I was turned away for an emergency

> student loan for $72. I still have the receipt for it in the chest in my bedroom. I wasn't treated with a lot of empathy. I was rubber stamped by a counselor who looked at some pretty bad ACT scores and decided I'd be a fine secretary. This same counselor never asked me what I'd like to be enrolled in. So when I refer to empathy and compassion, I'm talking about it from that frame of reference. To this day, when I see students come to campus who have babies, I talk to them and their babies. I walk with them over to where they're going. I just think that's part of what you do because you don't know what burdens they have had in life. I've heard so many stories from students when I was a counselor about how frightening it is for them to come in and how frustrating it is to sit in line, waiting to see an advisor. Whatever I can do to make them feel like they're welcome -- that we want them there – is what I do because I want them to feel that it's okay for them to be there. You never know. You don't know if they left a husband who beat them up last night because they decided they wanted to go to college. Without empathy, I wouldn't notice any of this.
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> **Chris** ~ I know my higher levels of empathy make me focus on caring over justice. I look at justice as being mainly about the law and the enforcement of those laws. I say that because social justice is very important to me -- it is about equality -- I don't put social justice in the same definition with justice as used here. This comes back to consequentialism, too. It's tied to outcomes versus the prerequisite issue and a need to clarify that in my mind.

Moral Purview

Authentic leaders in this study developed a moral purview that was other-directed, transcendent, and universal. Other-directed focused away from self-enhancing benefits and focused on benefits for others and society. Transcendency focused on values that were other-focused while acknowledging the interconnected of humankind, nature, and spiritual evolution. Universalism emphasized the interconnectedness between humankind, nature, and spiritual evolution while focusing on the understanding of, appreciation for, and acceptance of the protection of the welfare of people and nature.

All six participants in this study emphasized how their moral purviews helped make ethical and moral decisions that allowed them to follow their purposes in life. Results indicated that all six participants in this study discussed their other-directed focus in life while admitting that their self-foci were present, but rarely overrode their other-directed focus. Results indicated that all six participants in this study discussed their values and ethical philosophies with a transcendent and universal emphasis. Only one value was selected that was clearly viewed and self-reported as self-interest (freedom) and the youngest participant in the study selected that modal value.

Other-Directed

> **Chris** ~ I tend to have a focus on other people when making decisions. Fundamentally, if it's really coming down to either this because it's in my best interest or this because it's in the college's best interest, then I think the majority of the time I would come at it from the college's best interests. When we're in administrative roles, we have responsibilities to the organization. I always consciously asked myself two questions when making a decision: (1) is it in the overall best interest of the university -- not just my part of the university, and (2) is it humane? Those two questions would always focus me. Sometimes one or the other of the questions would allow me to ask myself the question of "am I really doing this because I think I'm going to benefit" or "am I really doing this because it is in the best interests of the institution?" If I benefited, it would be nice. I wouldn't mince that sort of thing, but if what I wanted was not in the overall best interest of the university, then I would try to go in another direction that would benefit the university. The humane part is basically asking who loses here and what is the impact?
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> Looking at the humane part brings civility and kindness back to the forefront. The senior administrator who first hired me in my first senior administrative position was quite a character. I only served under him for about a year because he decided to retire. He was a pretty hard and challenging person to work for, too. He used to kid me, and in many ways it was true, but he used to say I was the *on the one hand this and on the other hand that* person. I think in large measure I was and it served him very well. Especially in the role I played later, I really felt like that was

part of my responsibility – to help everyone view both sides of the issues and even several sides of the issue.

Shannon ~ I think the conscious part is that I am standing and checking to see what benefits others because that gives me a lot of satisfaction. I think unconsciously, my own ego and need for approval and achievement is a driving factor. What I've consciously decided is to always check to make sure I'm clear which that is. If I'm making political decisions and I 'm going to go tell the my superior something that she doesn't want to hear, that may not benefit me down the road in my promotions. But there are a lot of people being hurt and if I don't tell her, then it's going to affect staff morale or whatever the issue is. I think consciously I'm more other-driven.

Kelly ~ You can be other-focused without denying the self. There needs to be a balance. I can be pretty self-absorbed at times. I mean, you can't get to this point in senior administration without thinking, "Okay, let's see, I'm going to work another twenty years for an average of $200,000 a year, so that's $4,000,000 – wait, that's $40,000,000. How much are the benefits going to be and what kind of retirement will I have?" There are practicalities to it.

Unfortunately, I will say from this level of senior administration that our history in higher education has a very male-dominated past and there are relatively few women in these positions of senior administration. There are relatively few female presidents of any higher education institutions. In general, I believe men tend to be more self-focused and women tend to be more other-focused. While I'm not the kind of person who likes stereotypes, I do believe that that's true. I think I'm a little bit of a different brand. I am completely capable of being self-focused, but the difference is I can balance that with also thinking a great deal about others. For me it's not a dichotomy -- it's a parallel track of thought.

Lauren ~ I find when I'm dealing with these administrative issues that I tend to focus on other people more than my own interests. With that said, if you don't continue to grow and develop personally, then you get real stagnant. Again, I think when you turn 50, it changes your thinking because there's so much more you want to accomplish before you're getting old and getting ready to retire. Then you reflect, "What am I going to do next?" I really think that it's about doing for other people and trying to make a difference.

Transcendence and Universalism

> **Shannon** ~ If I am trustworthy with others, it enhances their collective well-being, which is focusing on humankind universally.
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> **Chris** ~ Universalism motivates me to be other-focused. We have a responsibility, if we believe in equality as I do, to care about the welfare of people and nature. What motivates me and peaks my interest in some of the forces of the world that are out there are human behavior and collective behavior.
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> Transcendence includes optimism, humor, spirituality, and a sense of purpose. I am not a wild optimist, but I am a guarded optimist. I don't think I would have had the success and recognition I have had if I hadn't been basically optimistic. Not wildly so – just optimistic. Also, humor is critically important. Ultimately, spirituality in the sense of my religious beliefs is also a major character strength that I have. When I think of my mission in life, I realize that I have always been purposeful. I want to do things that make a difference and I've chosen a path that is consistent with what I think is important. I have felt a transcendent sense of purpose most of my life.

Personal Best

Authentic leaders in this study focused on personal and professional development as a means (pathway) to an end (purpose in life). Each strove to develop a personal best so they would have the skill sets necessary, the professional position needed, and the positive influence required to model positively authentic development for others so that ultimately these others would carry on the mission of creating good works for others to enhance the common good. Each had developed into high achievers who were strident about authenticity and transparency, which allowed them to be true to themselves. Finally, achievement, authenticity, transparency, and being true to their true selves prompted these authentic leaders into focusing their time, efforts, energy, and resources into their lifelong personal growth.

All six participants in this study emphasized how their personal growth and professional growth were primary focuses in their lives that allowed them to follow their purposes in life. All six participants self-identified as high achievers and emphasized how important being authentic and genuine was in their lives. All six participants also discussed the issues of being transparent at all times and being true to self. Ultimately, all six participants reported that their emphasis on personal and professional growth was the catalyst for developing authentically and transparently, and being themselves, the self-described high achievers.

High Achievers

> **Shannon** ~ I am a high achiever and that means if I tell somebody I'm going to do something, I'll bust my tail to do it. Therefore, personal success is a product of personal growth, so achievement is important to me. I like being the best at whatever I do. I like taking it to the next level-- way more than expected. That gives me a lot of internal satisfaction.

> **Taylor** ~ Because you're a high achiever, non-achievers may expect you to pick them up. I was always the person who made things work come hell or high water and that's not easy. I didn't roll out of bed one morning to be where I am, knowing I could lose what I've attained in a heart beat.

Authenticity

> **Lauren** ~ I am very strong with authenticity. Honestly! I feel like I pretty much act the same at home as I do at work. That's where the value of integrity comes back in. It would be really hard to live a life otherwise. I mean I know people do it. Living two different lives, for me, would be like trying to be two different people in the same body. I would pride myself on there not being a difference between how I act around superiors and how I act with the staff working for me. I see that happen all the time and it absolutely infuriates me when people are treated as if they are from a different class.

> **Shannon** ~ Most people would tell you that I'm the same at work, home, and out in the community. When those I work with see me away from work, with superiors, or interacting with them, they see the same person. I

think that is the test. It's important that I model that. A lot of the people that I admire are that way. At the end of my days, I hope that is what they say about me.

Kelly ~ When I interviewed for this senior administrative position, I really wanted it. I remember telling the interview committee, "I can sometimes just be a goofball. And that has to be okay with you. I don't want you to know the homogenized version of me. I want you to know me. Just like I don't want to know the homogenized version of you -- I want to know you. If I say something that's goofy, then so be it. That just means that you get to say something goofy and I'm not going to roll my eyes." So being genuine is important. To me, transcendence is a sense of authenticity – of being who you are -- of knowing what your gift is and how to share it and not wanting to dress it up as some other gift that's passable.

Shannon ~ Even now when I interview for jobs, I'm very clear. I tell them, "If you're looking for a maintainer in this position, don't hire me. That's not what gives me my passion -- my drive. If you want to either start something brand new and let me build and create -- that's terrific. If you have something that exists and you want to take a whole new direction and want to really build it, I'm your person. But don't give me something that you just want to maintain. I'm not challenged by that. I'm not good at it."

Kelly ~ One of these was a very recent conversation with my president right now. I told him, "I believe, and I always will believe, and you should too, that if you want more from your relationships with people, you have to put more into your relationships with people. If that means being real and genuine and talking to them as if they're real people and really caring about them, then so be it." Now, does that make it difficult? Yeah. I've heard people say, "Well, she goes to lunch with the President, so of course she gets what she wants." The point of fact is, I walk around campus and talk to everybody. I'm like that, and I really don't hold people in respect who are legends in their own minds or who are all about, "I'm so important you must kiss my ring if you want to talk to me."

Shannon ~ It takes courage to be authentic. I really have to go back to my integrity word when I think of courage because I think if I have integrity, I am going to be authentic with people I don't know and those I do know. They all will see the same Shannon on Monday that they see on Friday. If they see me out at dinner or they see me in the voting booth, I'm going to be the same -- authentic. I'll be who I am if I am true to how

I'm put together – true to myself. Such authenticity is the foundation of integrity, which requires courage.

Transparency

Shannon ~ The best gift I can give another is to be transparently trustworthy because then they can trust me and I can trust them. That goes for those I work with, those I supervise, and my peers. They can trust me to be consistent -- I'm not all over the place. I'm not going to be up and down and all around. They can depend on me to pretty much act the same way. They can predict how I'm going to respond because they know my basic character and how I operate. That gives them comfort, which creates trust. If they can find that balance where they're not scared and not always having to guess how I'm going to approach things, then they can do their best work – which is the basic idea.

Kelly ~ Being transparent takes courage. When I interviewed for this senior administrative position I have right now, I told the President the whole story about the athletic scandal. I told him everything. I felt that I had an ethical obligation to do that because I didn't want him buying a pig in a poke. I knew that if I had to go to the Attorney General with all this information, if I had to go back to a grand jury and testify, that I would do it -- taking the name of the college I work at now with me. I didn't think I had the right to do that without him knowing in advance. If that was going to be a problem for him, then that was going to factor into his decision to hire me or not. I didn't want there to ever be a point in the future where he would say, "If I had known you had all this much baggage with you, I never would have brought you here." So, yeah, it can end your career, but I'd really like to think that there are people out there who respect someone who knows when to act with integrity and do it in the right way, and that that is more often going to be something that will allow you to go to the right place that also values integrity.

Personal Growth

Kelly ~ All of life is about personal growth. When you're going to the school of hard knocks, you don't have to sit down and think about lessons like that. You're living them. I do write and reflect. That's part of what writing the book on integrity was about. I have opportunities to go to conferences, which is good for me. I think a lot of my personal growth in the last year has been exactly that. It's been very personal. I neglected and lost a marriage in the pursuit of this career that I just now have the opportunity to earn back. I won't ever make that mistake again. It's about a sense of balance – personally and professionally.

Lauren ~ Working on personal development and growth has been huge for me. I grew up in a family where education was important and there was never a question if I was going to go to college or even about getting a Master's degree. I never thought that I would get a doctorate, but I always wanted to learn more. When I was in Student Affairs, I really got intrigued with leadership development -- how to develop and train and lead -- so I could influence policies and practices pertaining to equity or diversity or sexual harassment. If there's a problem, how do you fix it? I benefited from Stephen Covey workshops and thinking about things on a bigger scale – a more universal perspective.

I'm a strong believer in personal growth for others, as well. But, I'm not sure our culture really reinforces that a whole lot. People seem to communicate less and I think they're less willing to work on their own development because they think they can look something up on the internet or go interact in a halfway workshop -- you know on whatever topic. I think personal and professional development needs to be built into an evaluation system and needs to be part of an expectation. Yet I see that less and less.

I'm also a real strong believer in mentoring. In fact, several students I have taught are now in the department. Particularly with women, there aren't a whole lot of mentee opportunities. If there's a professional organization or there's a workshop or an article, I try to make sure I get these opportunities to staff and students. I also serve as a mentor for the leadership program for undergrads. I make it a point to look for ways to make mentoring opportunities happen. Because people have done that for me, I just think that you've got to give back.

Lee ~ Personal growth is constant work. It's always work. I began consciously having an understanding of the importance of personal growth for me, probably in my late 30s, early 40s -- when I started to awaken and understand. Even though I had a lot of the elements there before, I didn't put it together in my brain until then. It's just gotten better ever since then. I think that the hardest time was my time as a senior administrator where it really tested what I had learned. But it also strengthened it in the long run. So, I think that my experiences have been very helpful toward my personal growth.

Shannon ~ My values of integrity, responsibility, and developing moral courage are all consistent with the philosophy of self-realization, which is about knowing yourself and striving to improve that self. I realized in college that personal growth was important to me. That whole self-actualization thing has been important to me. I can look at the times in my

career when I have been very close to that and I can look at other times in my career when it was a job.

Kelly ~ Early in my professional career I didn't have that sense of professional polish needed for senior administration. The way I saw things and the harsh way that I would deliver my opinions to people in power was clearly me displacing a lot of the anger that I had for my father and how I was treated as a child. Thank goodness for therapy because now I have more effective strategies and skills. I was just telling the President last week, "I'm trying this new thing." He responded, "What's that?" And I said, "Now, I think before I talk." He laughed and said, "*Now* you think before you talk?" Before, I would just think of talking to someone as an exchange that was spontaneous and in the doing of that, I was too free or too trusting that the person could stand to hear whatever it was I had to tell them. Time after time after time after time that has held me back. When I was in the doctoral program, there were people who were very competitive with me who would literally tell me to shut up -- that I talked too much to the lecturers who had come that day as guest speakers. I'd get in their faces and say, "I spent my money the same way you did and I will talk to whomever and ask whatever questions I want to. Unless one of the professors tells me I'm being out of line, I'm not going to be pushed around by you." That was way too combative. I've had to learn to be more professional and political. I haven't polished down the edge completely, but it's a lot smoother than it used to be.

Lauren ~ You hope other people will uphold the same value system and you see some who do. Yet you also know people equally as well, if not better, that make you want to aspire to higher standards. Of course, there are then those you see who don't. I've tried to affect that in other people, not by preaching about it but by modeling it and hoping that if they are around it enough, it will rub off on them. I do think that who we are is about who we're surrounded by. I've been fortunate to be surrounded by really good people and maybe a few suspects along the way, but maybe you learn something from them, as well. With that said, I don't think everybody can live by my values either. You know that there have to be differences and you have to respect those.

Significant Role Models

Authentic leaders in this study discussed the impact of significant role models in their lives. Some role models were relatives, while others were childhood teachers, coaches, and friends. Many found significant role models in their adult personal and

professional lives. Some of these role models were positive and others were negative, but both types influenced the authentic leaders to gravitate toward or away from various value systems, prioritizations, and actions.

All six participants in this study emphasized how specific significant role models had impressed them throughout their lifetimes. What they learned from these role models helped to build their confidence to be true to themselves, as well as to be morally courageous when needed.

Positive Role Models

> **Lee** ~ My mom was definitely a pioneer because I was born in the fifties and she was divorced before I was born. She was pregnant with me when she got divorced which was unheard of back in that day. It must have been severe enough; I never asked. So, it was quite different; it wasn't an accepted practice like it is today.
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> My mom was probably the strongest woman I've ever known. She was very respected by others. She was a teacher. Her students loved her, as did faculty and friends. But you didn't mess with her. They knew she had boundaries. I don't mean that she was ugly or mean about it, but she knew what boundaries were. A lot of people don't understand what that is, even today.
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> **Lauren** ~ My maternal grandmother was a pioneer in her generation. She was a military wife who left home at a young age during the Depression. She was a dancer -- a performer in the theater -- which was not something that really happened during that time. I have been influenced by some really strong women who were very unique for many reasons. When my father was young, his family rented from a woman whose husband had died early in their marriage. My father's family lived behind her house, too poor to pay the rent. My Dad grew up in a family of four boys, so his father said, "My boys will work for you and do whatever chores you need done around here." Therefore, my Dad was the inside guy and got to know this family real well. This Landlady had gone to college at Occidental in a time when women never went to college. She was a close member of my family and influenced me significantly.

Shannon ~ My undergrad days, as well as my first professional position in higher education at the same institution, were times of much personal growth. I learned a lot from the people and from the students. The faculty there saw good and potential and possibilities in me that I, in another environment, might not have been pushed to develop. They certainly helped me see my gifts in a way that I had no clue. They allowed me to develop my confidence and self-esteem. The faculty there took a personal interest in their students and colleagues. Certainly working there afterwards was very key in my development. I was able to develop my human potential, personally and professionally.

Kelly ~ One of my English teachers used to always fold my paper and put it on the bottom of the stack. I noticed that -- I did not have good grades in high school. I could write, but I didn't have good grades overall. I remember thinking that the English teacher did that because my papers were bad. One day I walked up to him and I said, "Why do you do that to my papers?" I was convinced he was going to tell me it was not very good. He gently took me by the hand and said, "Because if I grade yours last, I don't want to hurry to finish – instead, I can relax and take the opportunity to read your paper." It was the first time in my life that somebody told me I was good at something -- that I had a gift.

Not only did he tell me I was good at writing, but he walked me across the street to the Trio program. He sat me down in the chair and went inside to get the Trio coordinator. He took the time to convince the Trio coordinator to pay me to be a tutor for 30 hours a week in 1976 for $3 an hour, which is what got me off the streets and put me into an apartment. When I started teaching adults and I could see that light go off, not just in their head but in their heart, I could see them shine from something that they understood that they didn't understand two seconds ago. I didn't put it there -- I dug it out of them. I call it *intellectual excavation*. That was like a drug for me. I just couldn't get enough of it.

Shannon ~ I went back to my home high school for my first professional teaching position in public schools. The high school I went to back home had just recently been integrated. When I was there, all of the students had been white, other than maybe one or two African-Americans. When I went back four years later, it was about 60% African-American. Many of my teachers who had taught me had left -- that white flight thing. One of my new colleagues, another teacher, was black. Prior to this experience, I had never been around any black people. We didn't have any black people at my undergrad university, so I'd simply never been exposed to black people or any culture other than the white culture. I had grown up with a dad who was in the John Birch Society, as well.

Reflecting back, it wasn't that I had overt prejudices against black people. I just didn't know any black people. During that time, I had to learn a whole new culture – a new way of thinking about people. Through this experience with my black colleague, all of a sudden a light went on. I realized, as a privileged white in the Deep South, that I was totally unconscious about living in a state where only whites were valued. Because I was white – because I was privileged -- I never even noticed. We had a black housekeeper like most middle class families, who lived on the other side of the tracks. Working with and learning from my African American colleague who was from such a different culture was really my first experience with that. Simultaneous to this experience, my parents, living in the same school district where I was teaching, had pulled both my brothers out of public school and put them in private school because they didn't want them to go to school with black people. This was a typical Southern reaction to the federal courts' pressure to desegregate the public schools. With my new insights on my parent's thinking, we started having a lot of internal wars about the ethical thing to do here. I realized that this experience of awakening was key for me. It helped me to get it about the whole justice thing.

Shannon ~ Thinking back on my first professional position in higher education reminds me of my boss, the Chair. She was not only one of the smartest people -- she's in the top three smartest people I've ever been around. She has innate intelligence. Her leadership, her work ethic, her behind-the-scenes efforts, and her personal and professional integrity profoundly influenced me. I was and still am very grateful that there are people like her in the world. Some people say, "What would Jesus do?" When I'm in a tough spot and can't quite figure out what the best approach is, I often sit there and think, "what would she do?" She was and is key in my personal and professional growth – in my life. I never doubted or wondered what she thought of me -- I knew where I measured. She was a very kind, gentle, and loving person. She had an amazing ability for letting people know how important they were. When I went into her office, no matter how many things were going crazy and phones were ringing and all kinds of trauma was going on, she absolutely was able to focus on whatever we were talking about. I felt that I was the only thing on her mind and she was giving me all of her. She's very attentive and that's a huge gift. She was the epitome of generosity of spirit. Her generosity of spirit helped me and many others. She modeled that and I try to do the same.

I had one of those love-hate relationships with one of the other senior faculty through the years – and still do – but she also made a huge difference in my life. Her style was to always be in my face – it seemed

nothing was ever good enough. She was one of those people where you never felt like you measured up. Yet, when I was a student and later as faculty, she was somebody I would go to when I didn't know what else to do -- and she would listen. She was still very important to my development and helped me learn how to stand up for what I felt was right, even if she didn't agree with me. I loved and respected her a lot. Sometimes we have to learn the hard way to stand up for our principles. It's much harder with people that you really respect and love, and I loved and respected her – and still do.

Kelly ~ Charles was an administrator – the Chancellor -- at the higher education institution where my faculty position was not renewed. After I appealed and lost my case with them, he brought me back to work for them -- when he didn't have to -- there was nothing in it for him. In fact, there were many things against it for him. He did it anyway against the strongest pressure from the Chair of the institution's Board. He restored my faith that administrators can act with integrity.

Also, there was a woman when I first started teaching that I just love -- Kate. I had just been made GED Coordinator and my students couldn't check out books from the library, which I thought was unusual. I remember writing the Vice President a memo requesting that we create some kind of system so these students could access the library. At the time, they weren't allowed to have ID cards because they weren't *real students*. I was requesting through the Vice President that we make a little ID card that I could give them so they could go to the library and check out a book. What a novel idea!?! Because they were GED students, administration perceived they were somehow different. I guess they thought these students were dragging their knuckles on the ground, unable to turn pages or check out books. I wrote this memo to the Vice President and never got a response – so I was frustrated.

A whole semester had passed and still I'd gotten no answer. I was in the ladies' room at the college talking to the Assistant Dean, whom I really looked up to, to get her to tell me how to solve some of these problems. I was complaining very loudly about the Vice President who had kept this memo on his desk for two semesters and still hadn't answered. All I wanted was for my students to be able to go to the nurse if they needed healthcare services, get an aspirin or a Tylenol if needed, or go play a game of basketball -- or check out a library book. I wasn't asking for anything big, but I was definitely shooting my mouth off and saying, "When we have to charge them insurance, we charge them insurance. When we have to charge them tuition, we charge them tuition. But somehow, they're still not students when it comes time to give them a

book. Gee, we're a college, duh!" I was just shooting my mouth off. Out of the restroom stall came Kate. She stuck her hand out to me and she said "Hi, I'm Kate. I'm the new President."

I remember thinking, "When will I learn to tone down and sit?" I must have blanched. Part of it was my own sexism. Who would have ever thought? I had never seen a woman administrator. I certainly hadn't seen one in the ladies room. I hadn't ever seen one, so it was the last place on earth that that sort of thing would ordinarily have happened. But by the end of the day, she had my memo unearthed from his desk, had signed it herself, and had the cards in the hands of the students the next morning. I remember thinking, "I want to be like that." She was smart and she was funny. She was passionate and she was strong. She was purposeful and she was gracious. With that said, she didn't last. She was only Interim President so they hired someone else – the Vice President who dropped my complaint in the drawer and slammed it shut. I watched her be gracious in that transition.

While Kate was Interim President, she nominated me for a leadership program that I did not want to attend. I thought it was stupid and pointless to send me out to some hotel with a bunch of other women where I was going to have to sit around and talk about leadership for four days when I had things to do. It was just going to leave me with a big ol' pile of work when I returned, so I didn't want to go. Yet, she made me go. She wouldn't take no for an answer.

When they didn't pick her for President, administration moved her to one of the off campus locations behind the mailroom -- so I went to see her. It was like being in exile back there. Yet she was working every day. I must emphasize, I had to go through a labyrinth to find her -- that's how far off and hidden her office was. It was literally back in a broom closet somewhere. I asked her with all sincerity, "How can you do it? How can you smile and be gracious to this person who has this job that you know you did so well?" And she replied, "Because that's the way the game is played. When you're a pro, that's how it's played." I never forgot that. She set the bar for me. That was my goal -- to be like her. Every now and then when I see her, I still tell her the story of how we met. We met in the ladies' room.

Lauren ~ Some of the significant Student Affairs administrators in my life encouraged me to get another degree, or they promoted me, or they had enough faith in me to continue encouraging me. The VP for Student Affairs had enough faith to select me. Honestly, I was scared to death. I felt like I could do that job, but all of a sudden I was supervising peers that

I had worked with -- co-workers in addition to department heads that had watched me grow up professionally in Student Affairs that thought, "Who is this person who is now my boss?" But the Vice President believed in me so I never was shy about calling and asking people in other parts of the country what they did with this position or that position. The timing and the opportunities have been there. I've worked hard, but if there aren't the right people that help you, you're never going to get there.

Later, in my early professional life, I worked with many strong pioneering women -- in the physical education department. It was a department of strong women that didn't exist anywhere else in the University because all the chairs of every other department were men. These women were nationally renowned in the field of physical education. By the time I came along, the men's and women's physical education departments were merging and the women weren't in a position of leadership there anymore. They were absorbed into the combined physical education department. With that said, I've been really fortunate to be around a lot of people who were pioneers.

I became close with one of those early pioneers in physical education. She was one of those people that just had a totally different approach to life. We learned a lot from each other. You know -- the fighter, the warrior -- and when to go toe-to-toe. She always said, "You can't pick your time in history." At least she came at a time when she could make a difference. I think you can always make a difference. Yet there is a bit of timing to it.

Chris ~ Professionally, I think that one of my most influential mentors was one of my doctoral program professors. When I started considering working on a doctorate, I was introduced to him and we hit it off immediately. He offered me a graduate assistantship. He was a remarkable person with a lot of compassion -- a lot of verve -- and he embraced me as a colleague. I worked for him for several years and within a year or so, I was in a full time administrative position. I truly learned a whole lot from him. It was within the first six months of my administrative career that I saw the volatility that can exist in senior administrative roles. At that time, the President of the college had just been forced to resign under duress. My mentor was then a senior administrator who now faced the dilemma of whether to resign his position in protest of the President's treatment. One of the other senior administrators had the same dilemma of whether to resign in protest and chose to resign in protest, but my mentor ultimately decided not to resign, deciding that he could instead make a greater impact by staying in his position of power and influence. I had great respect for them both and

saw them going through that kind of dilemma that can challenge anyone's value system.

I was in conversations with both of them and it was an intense period of time for all of us. I really understood their dilemma. I respected the decisions they each individually arrived at. I think they both made principled decisions when they did what they did. Even the ex-President supported my mentor who stayed because they had started a lot of programs and initiatives and the President felt it would be part of her legacy to have these programs continued by someone who cared.

Negative Role Models

Lee ~ There have been many, many people in my life that have made a huge impact both negatively and positively. I think the combination of everything from all of those people brought me where I am today.

I even learn from the negative people and experiences. Number one, it teaches me more compassion in a lot of ways and it also teaches me things that are not for me -- ways I wouldn't want to behave. Certain colored stripes I wouldn't ever want to wear. Having had some of these negative experiences and known some of these negative people is where gratitude comes in for me -- that I'm grateful I don't have to be that way or think that way or be negative or go to prison. This is a choice that each of us made along the way.

Kelly ~ There were so many people that I learned from – sometimes more from the really bad ones because I knew a lot more bad ones than I knew good ones -- that is for sure. I saw a lot of really bad administrators. I remember thinking these people are mean AND they don't like the students very much. They didn't seem to care if decisions they were making were making it harder for the students to get what administrators were supposed to be here to give them or easier. Over time, I've learned a lot from bad administrators, including the administrator who put his desk on risers -- so every time you walked into his office you couldn't even look him in the eye. Instead, you were having to look up, literally, at the ceiling, as if he were the great and magnificent Oz.

Lauren ~ In order to have the moral courage to take action when necessary, I think you definitely have to develop it over time. I think that happens because of life experiences -- personal and professional. You learn as much from the way people do things the wrong way as you do the right -- in fact, sometimes more. The VP who hired me into Student Affairs was a great mentor to me, but he was a fiery Italian from New

> York and was very outspoken for our region of the country. Sometimes I think I was good because I was scared to death I would bring his wrath down so I just killed myself to try to make him happy. Also, I frequently thought when he was around me in staff meetings that if I were ever in that position I'd never handle people that way. As good as he was to me, his approach was not. So, I think you learn moral courage from making mistakes, maybe on your own when you didn't take action and you wish you had, or by admiring people that had the strength to fight some of the battles. I had a chance to watch some people do that, so I've definitely evolved from those experiences and from knowing those people.
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> **Kelly** ~ I learned a lot from this negative role model. When I was a work-study student, one of the directors I worked for had his office arranged so that his desk sat on a riser. When you went into his office, you literally had to crane your neck back to look up at him at his desk. Behind it was this big, red curtain – looking just like something out of Oz! It was ridiculous -- just ridiculous -- the pomp and circumstance. I see that as putting distance -- arbitrary distance -- in between people, and it makes it harder to communicate with them when such a vast difference is perceived, either by title or by personality or by politics or by some unfortunate combination of those things. If anything, I work very hard against that and I have been called down by mentors who have said these people are not your friends. You shouldn't engage them as if you were friends.

Significant Events

Authentic leaders in this study discussed significant events in their lives that allowed them morally to develop by using multiple perspectives, transcendent value systems, and a broad moral purview that culminated into their becoming their personal bests. As a result, they developed the moral fortitude to act courageously for the public good.

All six participants in this study emphasized how specific significant events in their lives had influenced them to be who they are today. Many of these events significantly influenced their value systems, guided their prioritized values, and dictated the way they perceived people should be treated at all times. The other-directed focus,

transcendent focus, and universal focus tended to result from the insights they gleaned after reflecting on the significant people and significant events in their lives. Whether negative or positive, all profoundly impacted the participants.

> **Kelly** ~ In my childhood, I had so many times when I had to tell my mother to leave my father because of his dysfunction -- to literally be her guide, her eyes, her ears. I snuck onto a military base and stole the family car when I was 10 years old, then drove it home, packed it, put the kids in it and drove it off the military base with my mother in it and five other kids – all when my feet could barely touch the pedals. We were being chased by military base police because the car had been reported stolen. That took a lot of courage at the age of 10. There were a lot of situations like that. I mean, she took him back repeatedly and I was the person he blamed for everything. He would terrorize me with threatening the other children. "Do what I tell you to do or I'm going to go do it to her." Dysfunction like that. It was a very, very, very hard way to grow up.
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> Later in childhood, I had plenty of opportunities to stand up when others wanted me to do something I thought was not right. When I was a ninth-grader in high school, I had the biggest crush on a kid named Anthony. He was so handsome and so popular and two years ahead of me. He was so funny. He was in the drama club and so was I. We were both taking drama. We were in the high school auditorium that's got a stage with the seating. He invited me to climb up in the ceiling to hang lights for the stage -- and he invited me to join him up in the rafters and have some pot. I just couldn't do it. I was terrified of being caught. Part of it was being scared of being caught and part of it was having a personal understanding of people who are absent their faculties. I was always very afraid of being unable to snap back into reality -- whenever that might be necessary. If anything, I was too grounded in moment-to-moment living; therefore, I probably could've used a good toke, but I just couldn't do it. I was too afraid. When you come from a dysfunctional family, you live in the moment. You have to. Your wits have to always be about you. That's what I meant when I said I could never take the chance of loosing my faculties. I didn't want to be a part of anything that I couldn't just snap out of at a moment's notice if I had to be. When you grow up in a dysfunctional household like that you don't know what the next thing around the corner is.
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> Also, one of the most significant events in my life that made me who I am today was when that teacher literally took my hand and walked me across the street and sat me down in the foyer outside the Title III office -- and

went in and got the Director of tutoring and told him, "I want you to hire her. I want you to give her a job." That was very significant in my life. He didn't know I was living on the streets. He didn't know I didn't have any money. He didn't know that I joined the ROTC so I'd have clothes to wear and a coat. He just simply didn't know that. That moment changed my life. Also, those moments of looking into the eyes of the students that I was tutoring – when I realized that I could make them believe they could do it -- I just knew how to connect to their heads and their hearts – those moments have been significant in my life.

Chris ~ Early in my childhood, when children were being singled out to be teased and made fun of, I just didn't do it. The few times I did early on, I always felt bad. I think clearly I saw in both my parents examples of that sensitivity. I know that equality and honesty were clearly values that were reinforced and held by both my parents. My mother was a teacher in a small school setting. She had a class of multiple types of children, so I think seeing her working so hard to help those who were seen as different was something that influenced me. I always saw my dad, who was a school administrator, treating everyone nicely and fairly. I think my parents have had a lot to do with influencing me on how I think about and treat others.

In the town I grew up in, there were a fair number of Hispanic families. Not a whole lot, but there was a part of town where most lived. Several of these kids were in school with me -- this is in the early 50s. There were a few families of blacks who had to attend a *separate school*. When the *Brown* decision came down, my dad was working with the school board. The school board met and decided that the school district would attempt to comply with the law. My dad and the Board President met with the black families and told them, "this law has come down and it's just the law of the land now -- so we want to offer to allow the children to come to the main school. But -- the caveat is that we can't hire another teacher" per the dictates of the Board. Ultimately, the families chose to attend the main school knowing that they were terminating the employment of the black teacher. This experience and the retelling of it in later years have influenced my value system.

Lauren ~ Before I was a senior administrator in Student Affairs, I graduated from college in '75, which was an interesting time in history. I taught and coached at a public school where, at that time, the very first group of girls got a competitive athletic period in the schedule. I had always wanted that for myself when I was young, before the day of girls' and women's athletics. I think that a lot of why I am where I am today is because of opportunities that didn't exist; I have worked to change that for

others. So, it was really neat to see that improvement early in my professional career. I coached there for three years.

Upon reflection, I think this was the turning point because the public school system really frustrated me. In track, they wouldn't let the girls run the full mile because administration didn't think they could or should. They thought we weren't capable. And I'm thinking, "how can that be?" Can you believe that this was just in the mid 70s!?! I never believed that you should just complain. I believed very strongly that you should just be part of the solution. At that point in time for me, the way of being part of the solution was to be in the administration. Unfortunately, there was no way in that day and age that a woman was going to be in that position. So, I got out of the public school system.

When I was young, I lost some people very significant to me. I lost a three-year-old nephew from a brain tumor. Also, one of my high school classmates got his neck broken in a football game. We were really close. Just a few years ago, I lost a very dear friend, one of the pioneers in physical education, to cancer -- which was very stressful watching that battle on and off. Then there was my Dad's death. Comparing those two and seeing one hooked up to machines and the other one at home with hospice made me realize how precious life is. It's pretty fleeting. You need to try to make a difference in the best way you can. I really try to think about positively impacting others.

When people you know break their neck in a freak athletic accident -- or when loved ones die from cancer, you understand that it can happen in a split second -- an instant that looks no different than ones that happened a thousand times before. You realize that the high school class that I grew up with was where I had some really good relationships and some that were duds. Fortunately, I got in one of the really good ones and we were really close. It was the first time any of us at that age had dealt with disability or death. To watch what went on profoundly impacted me by focusing me on such monumental issues such as staying alive, rehabbing, and persevering. The football player with the broken neck is still alive today and is a professional DJ, yet I know that our life spans are different.

I've always believed in fighting for the underdog. There weren't many minorities in our small rural town growing up; it was pretty white. But we had a black athlete who played on the basketball team. After practice or a game, our gym teacher gave her a ride home over on the East side of the tracks. It was the first time I'd ever been over there and I was absolutely staggered -- she had a home that barely stood and didn't have a coat. The first thing I said when I got home was, "We've got to get this girl a coat."

We also had a student that came from Mexico and couldn't speak English. Most of the kids made fun of her, yet I always had a sense of, "That's not right." You've got to take care of those around you. I don't know how innate that sense of duty is or if it's learned.

Chris ~ When I was a freshman in high school, I was playing basketball. I was not a particularly good basketball player but, in general, I played okay. The word came back to our freshman coach that a group of us girls had spent the night out at someone's lake house and that there were reports of smoking. Coach said that any one of us who had been smoking should tell her, which meant they'd have to quit the basketball team. I was one of those girls and knew that Coach knew the circumstances. I also knew who else was involved. My dad was an administrator there and my mother taught, so I told Coach what I had done. I had to quit the team since that was part of the deal. She had made that stipulation perfectly clear. Even though, at the time, I didn't appreciate the consequences, it was one of those things where I knew what I had done and that it was wrong. While I knew my parents wouldn't be happy, I also knew they'd respect me. It was the right thing to do.

As I recall, I think there were five of us. The other girls involved didn't say anything -- and nobody ever asked -- even after my confession. Even the coach didn't ask. The coach, having pronounced this edict, was maybe 26 years old and very inexperienced. I think that she had some very strong fundamentalist religious beliefs so she thought she was doing the right thing. I think it's a hard situation to put young people into. I don't doubt that she really felt like she was doing the right thing -- trying to have a code of behavior.

Lee ~ The first major adversity struck me in early adulthood. I was thirty when my grandmother died. It was the first time I lost somebody close in my family. I had very little family. I had my mom and my grandmother and my step-granddad. When you lose somebody who's one of three, it's a huge loss -- it's a third of your world. I'd been very protected up until then so that was a huge loss. Learning to deal with death wasn't even about facing my own mortality or anything. It was about much more. Yet learning to deal with those issues -- I think taught me a great deal -- and learning to accept that that's part of the cycle of life was important.

Kelly ~ I was out of town on a business trip a number of years ago and I was driving down a well traveled thoroughfare -- one of those streets that is really two lanes -- one lane in either direction -- but over time it is sort of one and a half lanes where people kind of jockey into each other to get where they're going -- it's not a main thoroughfare, but people treat it as if

it were. On that day, I was headed north on that street and there was an intersection up ahead and it was 5:30 rush hour traffic. People were jockeying in and out and trying to get ahead of the next guy in line. There was a man with cerebral palsy, who had just gone to a convenience store to buy a newspaper, who was attempting to cross the street near where the light was – with the cars zooming by. They were coming and going in both directions, north and south, and he had a very hard time walking. Like I said, he had cerebral palsy, so was just trying to hold onto his newspaper and make it across the street. He was very humbly dressed and walking with that mitigated gait -- that jerky, halting, unsteady, "I could topple over at any moment" kind of gait. I saw him from up ahead and I saw that people weren't slowing down -- they weren't stopping nor were they even trying to give him access. Maybe it was his fault that he wasn't crossing at the light, but he wasn't doing anything that a number of us don't do every day without even thinking about it. When I got close to where he was, I just slowed down and I let him pass in front of my car. He had a cap on, and he took the brim of the cap and he nodded in my direction, as if to say thank you. That profoundly affected me. I don't know why that makes me cry to think about that, but I guess part of it is I think that could be me? Why we aren't kinder to each other I will never understand because it costs us nothing. I got where I was going and he got where he was going and it wouldn't have made any difference if I had zoomed ahead 'cause he would have gotten across eventually like everybody else did.

I think that there is something -- some code that should bind us as humans -- that we could at least be honorable to each other. It is the least we can do for each other. Truly, you just don't ever know what burdens and experiences people are carrying around. You don't know what trouble they're having or had. You don't know what difficulty their context is. You just don't know any of that stuff. What a different world this would be -- what a different experience it would be for all of us -- if we functioned from a compassionate place more often, even if it were just a little more often. Maybe if we could do that, then these other issues of integrity and morals wouldn't be such big struggles because we would have some practice at dealing with each other compassionately.

Another significant event in my life showed me the importance of integrity. Integrity is an important value to me because too often I've seen people in positions of power act without it, and I've seen what it does. One of my very first mentors was a wonderful man from an aristocratic Mexican family in Mexico who personified integrity. He got his PhD in the sixties when nobody who was Hispanic was doing that. He had a very hard time because he was treated so badly in the college district where I

> grew up. I saw how hard he had to fight to hold his job, to be treated with respect, and/or to be treated with any dignity at all. I saw him fight the powers that be there -- I saw him lose and I saw him win -- and I saw how it consumed him. It always struck me as such a terrible tragedy because we all have so much to give these institutions. That's why we're there. We have gifts to give. When people are treated badly, either out of a lack of compassion or a lack of integrity or a combination of any of the above, we diminish their ability to fulfill the mission of the institution because now their energy is focused someplace else. It's focused on trying to make the institution do the right thing instead of serving the students or making better decisions for students. I know that sounds trite and corny, but I really believe it.

Summary

Avolio and Gardner (2005) described authentic leadership on a continuum from inauthentic to authentic to very authentic to highly authentic. Their research can be represented as follows in Figure 4.02 on the following page. As leaders developed authenticity through self-awareness, they developed self-regulation, which allowed them to feel comfortable projecting their genuine self to themselves and others, which ultimately led to veritable and sustainable outcomes. All six participants were evaluated as authentic to very authentic to highly authentic on this continuum with differences seeming to be a result of their age and experience, just as Avolio and Gardner (2005) described in their research.

Moral Courage and Courageous Principled-Action

The fifth and final research question for this study took into account the compilation of the data gathered for the previous four research questions and asked how the authentic leaders translated their value system into action when they perceived a moral imperative to act. The final research question was:

5. What gives the participants the interpersonal strength to act authentically and courageously when faced with unethical, immoral, or illegal issues in the workplace even when they knew or should have known their actions could potentially cost them their administrative careers?

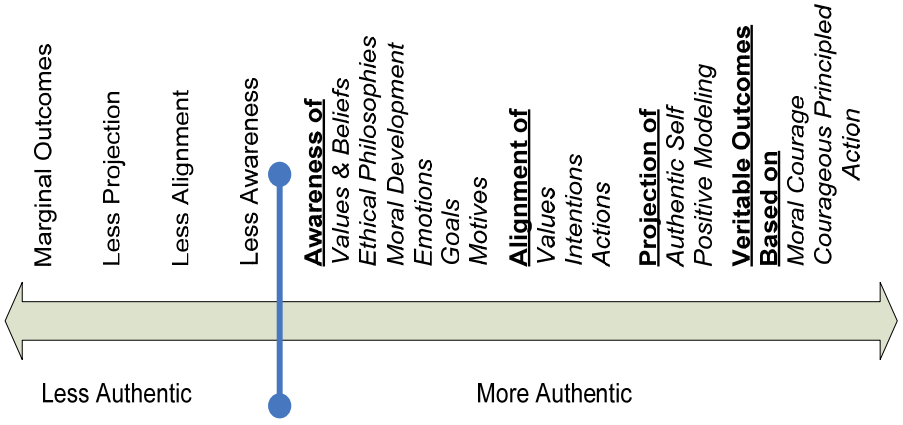

Figure 4.02 Meacham's representation of Avolio and Gardner's (2005) Authentic Leader Continuum

Authentic leaders in this study worked specifically to develop moral courage throughout their lifetimes in preparation for courageous principled-actions that would further the betterment of society, i.e. their purposes in life. Personal development through self-awareness and focusing on self-regulation allowed them to develop the principles upon which to act, the awareness of the dangers inherent in using moral courage to take courageous principled-actions, and the endurance through resilience and persistence to continue with their positive efforts even in the face of significant barriers, personal costs, and institutional pressures.

Principles

Authentic leaders in this study focused on the eight core universal (transcendent) values that support the development of moral courage. The values of responsibility, honesty, and fairness fostered the integrity to be morally courageous. The values of compassion, respect, acceptance, freedom, and love fostered the moral courage to treat people well, even when those people were oppositional or focused on self-enhancement. Other values previously discussed as transcendent for these authentic leaders in the study included trustworthiness, caring, humility, and collective well-being.

Risks

Authentic leaders in this study understood the risks inherent in their actions opposing the status quo. While they did not overly reflect on these risks, they proceeded forward with introspection, forethought, and intentionality. They willingly opposed the status quo and pushed for high-impact positive change that was other-focused and long-term focused. The heightened feelings of responsibility for others and their focus on inclusiveness (humankind), respect, understanding the needs of others, and goals of creating public good allowed them to overcome their fears of the risks involved in courageous principled-action. Institutional inhibitors and intrapersonal and interpersonal dimensions of moral courage were discussed.

Institutional Pressures

Authentic leaders in this study reported indirect and direct institutional pressures primarily designed to encourage conformity with the status quo or to prohibit change while silencing the authentic leaders. Some of the conflicts were clearly unethical,

immoral, or illegal because of a mutually agreed upon societal standard of right and wrong. However, many of the conflicts between the authentic leaders and their institutions were based on right vs. right dilemmas where the conflict arose based on differing priorities of the institution and the authentic leader. Truth vs. loyalty, individual vs. community, short-term vs. long-term, and justice vs. mercy dilemmas were often the basis of the immoral policies and practices, as well as many of the unethical practices. The primary inauthentic dysfunctional institutional cultures, as well as the dysfunctional leaders who created and sustained these inauthentic cultures, encouraged Administration to deny the situation, collude with those supporting the status quo, or collaborate with wrongdoers.

> **Lee** ~ In the long run, the people that had the power in the institution were more interested in achieving other goals than doing what I perceived was the right thing. They had other goals in mind. Economic goals -- meeting needs along those lines -- they felt outweighed what I felt was illegal activity. Some people are more interested in the status quo rather than improving the culture and the other things that are going on. Change is fearful. I think it goes back again to, "leave it alone" and "don't rock the boat."
>
> In the illegal, immoral, and unethical administrative experience I was involved with, I took a stand that cost me my career. I never once thought to collude or look the other way. I couldn't have done anything else. It wouldn't have been in me. I couldn't have lived with myself. It's beyond my comprehension as to how I could think about the other side of that. I just couldn't even though I knew it was costing me. At the end, I knew that this was my path.
>
> I don't know how aware I was at the time of the potential of losing my career. All I can tell you is that I knew that when I took that job and I knew what the parameters of that job were that that was what I was going to do. I was going to take care of that job to the best of my ability. When I pursued getting help, I was fearful that we were all going to be in trouble. I knew the department would suffer; I didn't think about me personally going to jail. I wasn't doing anything wrong, but I knew also

that the only right thing to do was to ask for help from the Administration. There was not a time that I debated at all whether to ask for help or not. There was no debate in my soul at all; it was just what I was going to do. I'm sure that for a person like I was dealing with – for such a corrupt Chair -- that I was not a very fun person to have in his department. I can see why he got rid of me. If I were evil like him, I'd get rid of me, too.

Shannon ~ I certainly felt their institutional pressures. They were in my face in terms of "these are the traditions," "this is the way it has been," and "this is the way it will continue to be." They were pretty in my face that this was the institutional way. I'm sure there were subtle pressures to conform. They knew I was ambitious and would need opportunities to rise within the administration. So they kind of subtly and not so subtly let me know that the Vice-President would be retiring in a couple of years -- and you're one of the heir apparents -- so play nice -- we know you are loyal – and those opportunities will be there. I am sure that carrot was put out there to encourage conformity – to get me to cease and desist.

It never occurred to me that my professional career might be at risk if I persisted with my efforts to enforce the hazing policies. I don't know whether to chalk it up to naïveté or if I could chalk it up to not having done enough reflection about, "if you keep going down this path, this is likely to happen." I just felt such a sense of calling that I was put there to help make things better so that if I worked hard enough, I could persevere -- that whole driven thing. So it was all about me being driven -- being called to do something. I was in the right place at the right time, making a difference, so I got caught up in that whole thing. I never thought, "if I do this, I'm going to get fired," or "if I challenge the system enough, they're going to go -- time out, this is too much -- we've reached our saturation point." Now perhaps I should have….

Yet I know myself. Even if any of those thoughts had crossed my mind, I would still have taken a stand – for the sake of the students. I would not have succumbed to fear. I never have operated that way. In any place I've ever been, I've never thought, "if I just look the other way, I'll be able to keep my job." I just always figured that if I was supposed to be there, I was supposed to do the job and do the job the best that I could and that would be good enough. And I still believe that.

Lauren ~ Institutional pressures were present to get me to back off some of the progressive policies I was trying to implement, but more indirectly than directly. One of the advantages of being around for a long time is that you understand the barriers the institution will use. You know that they are there and so you're just persistent. Then you wait around for the

right time to hit it again and again. I didn't ever feel personally threatened, but I did know and feel unapproved of by some.

Honestly, I think the person that was in the worst spot because of the stand I took was my boss. I can remember the football team was going to a bowl game so several of us were leaving for the game that Friday afternoon; I was catching a flight. I had to take off an hour early and my boss felt compelled to tell me, "I hate to say this, but just make sure that you put that hour down." It's not like you didn't spend your entire life right here. I think he really felt like he, too, would be monitored and watched. At that point, I probably did feel a bit threatened -- like I was being targeted. I feel like he was trying to protect me. In terms of him being a human being and a compassionate person and somebody that really cared, I really think he believed the policy was wrong -- but the policy was the policy. He couldn't change it and he reported directly to the President. Yet my boss was extremely close personally with the ill administrator. He promoted women's physical education with this pioneering administrator when they were all early in their careers -- so it was so much deeper for him. It was a huge loss for him when she died, too. There was a lot going on. I will say that as difficult as that time was for me personally, I was really lucky to have somebody like him for a boss because I would have been gone without his intervention … or never been given the chance to have the job in the first place based on his knowledge of our relationship. He was a good person. He's retired now. Yet I believe that he was profoundly impacted by what happened. I think such an experience can cause people to do something differently in the future that impacts others. I definitely think whether they move up or whether it opens their eyes or just makes them think differently, it profoundly affects them. Hopefully, that's happened to all of us.

Kelly ~ Many administrators I knew couldn't or wouldn't act courageously. I think for those people, the law of the universe is an abstraction that they visit on Sunday and not really something that they consciously incorporate into their life. It's like that scene in *A Wonderful Life* where all of a sudden you understand what you're place was in the life of so many other people. You don't get to see it all the time, but you have to believe that you're there to make their lives go this way when they might have otherwise gone that way. Otherwise, any automaton sitting behind this desk can do this job. I feel really committed to that and I enjoy how that feels, but I don't think the others feel that way. I think to them this is a job, no different from screwing on widgets or changing oil at MasterLube.

> **Chris** ~ Other administrators didn't make the same principled decisions I did yet I am not very critical of these other people. I recognize there are a whole lot of things I won't know that go on in people's minds -- what their life is like or the limits or challenges they have that may challenge them to make certain decisions different from my own. I think I spend more time internally trying to be as sure as I can that my own motivations are consistent. I just don't spend much time thinking about others motivations. There are those who are so transparent. It is clear to anyone that they are just after their own self-interest. That's okay, so then you deal with them. I try not to be naïve, but I try not to dwell on it either.

Personal Inhibitors

Authentic leaders in this study have focused most of their lives upon personal and professional growth, often through self-awareness and self-regulation, and they have often overcome many of the personal inhibitors that would stunt their development of moral courage over time. Some of these personal inhibitors they overrode included, but were not limited to, their timidity, foolhardiness, excessive reflection, a desire to be liked, and valuing others differently, which would reduce their obligation to help. Other personal inhibitors they overrode included a focus on physical over moral courage, a tendency toward redefining deviant behaviors (hazing does no harm), misdirected altruism (helping others for self-enhancement), and succumbing to bystander apathy and/or GroupThink.

Intrapersonal Factors Supporting Courageous Principled-Action

Authentic leaders in this study strengthened their intrapersonal factors that supported them toward being able to take courageous principled-action. The intrapersonal factors included an awareness of their purpose in life and consciously following that purpose. They utilized their values not only to help other people, but also to promote their own courage and the courage of others. When they felt threatened, they

utilized their value systems to clarify their motivations, decisions, and actions. Finally, authentic leaders used optimism to develop their self-confidence, which afforded them the security to utilize courageous principled-action.

> **Shannon** ~ Nobody can act morally courageous all the time. We just can't. But, the times that I am more at peace with myself are when I have pushed against what is an easier path. Many of the people that I admire have modeled this. It is definitely the harder path, so you have to figure out which one of those you're going to tackle – the easier path or the morally courageous path. Sometimes the process of choosing paths throws you off balance. You have to find out where your strengths are and where you can make a difference. Then act.
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> **Lauren** ~ At some level, I realized if I persisted with trying to implement change, my career could be at risk. Pushing for anti-discrimination policies and practices in a very traditional institution doesn't go by unnoticed. I probably thought my persistence could have prevented me from moving forward. I didn't feel threatened by being ousted. That was my responsibility. I think a part of it is that you don't care more than you don't get it. You know you just don't dwell on it because you're more focused on what you're trying to get accomplished.
>
> **Chris** ~ With a new President who had a reputation for aggression and volatility, I had a strong expectation that change would come. I wasn't sure how my role would play out, but I made a decision that I wasn't going to run from the volatile situation immediately. There were senior administrators that were affected by this. One senior administrator made a decision to immediately go on the market and there were some other senior administrators that were in a similar situation. I don't think there's anything very unusual about that when there's a major change. Often, people are in roles where the new leader really does have the right to assemble the team that is deemed appropriate for him or her.
>
> My situation was complicated not just by the new President, but by the members of the Board of Trustees who supported the hiring of the new President. The circle of senior administrators at this level is often small, so may I just say, I was aware of both of their reputations. I had had a lot of dealings with both of them. The Trustee is, without question, the Reader's Digest version of "The most unusual person I've ever met." He quickly tops that list that had other negative people on it. He was very complex.

Kelly ~ On several occasions where I was taking an ethical or legal stand, I considered very strongly that my persistence could end my career. Yet I persisted anyway, because not to do it could also be a career buster. When I left my institution over the athletic scandal, I had five six-inch three ring notebooks with notes of every conversation I had -- dated, timed, written down, documents, everything. And I mean everything! It filled a box about half the size of a six-foot sofa. I went into work and I made copies. I made an exact duplicate and I kept the originals. I gave the copies to the President. Then I told him, "I'm keeping the originals. These copies are for you." I fully expected him to say, "Don't you dare leave with a shred of that paper," which is what I would have said if I had been the President. I told him in that moment, "I don't know if you have the courage to do what you need to do," meaning that he needed to report to the federal government because it involved the mismanagement of federal student financial aid funds. Then I said, "I don't ever want there to be a question of my part in this." I suspected if I didn't protect myself, that when I left, I would somehow be hung with it. I didn't want to be a darn fool about it. If he were to have said, "No, you can't have it," then I would have taken the copies and he could have had the originals. If he had said, "You're not leaving with anything," I would have made another copy. I would have done that anyway because at that point I didn't trust the President either -- I didn't trust him to do the right thing. So I gave him an ultimatum when I said, "if I don't see that you have reported this within the next three months, then you need to understand that I will. I will take this to the State Attorney General and I will turn it in myself." I needed for him to understand that I was that serious about it. By federal law, if you have knowledge of the mismanagement of federal funds, then you are held responsible for reporting the mismanagement.

I struggled with what to do. I called several senior administrators at other institutions that I knew and trusted. I told them the story. You know what each and every one of them told me to do? "Do nothing." They looked at it pragmatically. They looked at it as, "You're a Vice President now and you want to be a President someday. Sit down and shut up." I didn't do that. I did wind up taking it all to the State Attorney General and eventually to the Grand Jury where I had to go back and testify. It's a shame it had to happen that way. That could have ended my career right then and there.

Endurance

Kelly ~ Courage is very important in life. I am brave. I have had to be. I have seen some colleagues who displayed little or no courage and I have witnessed the impact on people, such as my mentor – the Mexican aristocrat. He had a lot of courage, but I think people have a finite amount

of energy to live their lives. When somebody with talent like that is struggling against something that is inherently unjust, then the energy they would have otherwise used to serve the students gets used on other things and then they have less to give. To me, I see that perpetual struggle as self-defeating. I grew up in a very dysfunctional family. Neither of my parents were functional by any generous stretch of the imagination. It was always me who was getting in between them and keeping the other siblings out of their way. That meant I had to put myself in their way. I had to learn how to be in their way and not in their way at the same time, and I wasn't always good at that. I often took the brunt of my father's anger many, many, many times.

By the time I was 16 years old, I knew how to stand up and I knew how to duck and weave. I had a pretty good instinct about people. I really resent the way I had to grow up, but when I look back on it, I think it gave me a lot of gifts. As a student in a community college, I had to survive without any support from anybody. I was literally living on the streets. I think when you come up that way from nothing, then you don't have anything to lose and you don't have an option not to make it. You have to make it. So, I don't know if I look at my going to school against impossible odds so much as bravery. I just ran out of options. Maybe it was brave. Maybe it looks brave in retrospect, but all I knew was I didn't want to live in a trailer park. I didn't want to be poor. I didn't want to live a life of no meaning -- no significance. Is that brave? Perhaps my actions were more ambitious than they were brave. If you don't know how big the thing you're doing is, then how can you say it's brave? I look back on it and think, "wow, that was brave. Look at all the 900 things that could have gone wrong and did go wrong." At the time, did I know how brave that was? Maybe a little. I understood that nobody else in my family had ever gone to school or fought to make a difference.

In retrospect, I was literally more afraid of living a life of poverty and ignorance than I was of whatever was going to happen to me by trying to get educated. That is the point I'm trying to make. That's not bravery. That's just fear of another bad thing motivating you to do something bigger. I do think that taught me courage. If I can do this, I can do that. One thing just kind of chained up to the next. I developed more courage over time.

Taylor ~ One of my strengths is courage, which often requires enthusiasm to sustain. I think I have more of an optimistic enthusiasm for things. The Chair I worked for in higher education said there was an enthusiasm about me. I like to do new things and build things up. So, I think there's that natural enthusiasm. I also think there's an amount of diligence to courage,

as well. I don't think that things get done just because you're enthusiastic. You've got to push. And you've got to keep things on course.

Courage also entails having integrity, which requires you to act in a responsible way. It would not be a meaningful career if you could achieve and be successful yet you lacked integrity. If I had a choice to be very successful and have no integrity, I would never choose that. Never. I'd rather fail and at least maintain a core sense of values than a corrupt integrity. I also think good leadership, at appropriate times, takes courage to say and do things that are not socially acceptable within the given environment. Without courage, I think that there would be more human suffering.

Lee ~ Integrity is an important character strength of courage. Hence, integrity was one of my main values. Through life, I have developed my integrity, authenticity, and enthusiasm. Even when I interview anymore, I pretty much tell everybody I'm interviewing with or that I interview for jobs, that what you see is what you get. And I really mean that. If they find I'm something different, I want them to come and let me know because I try to be exactly who I tell you I am because I think that's the kindest thing we can do for anyone. I also think that enthusiasm is important in life because it carries us through those difficult times. In addition, integrity is real important to me because that's our biggest intangible asset that we carry with us.

I try to ensure that I act consistently with everyone by just being myself. In all honesty, what I hope to do is bring the same ingredients to the table for everybody. The reality is that with someone who's above me, there are certain expectations that they have of me and those have to be met no matter how we want to cut it. As I have different leaders that I deal with, I deal differently with them. With people that I supervise, the important things to me are safety -- a place where it's safe for them to work and safe for them to make a mistake. I try to bring as much equity and fairness as I possibly can to the job, as well as stability. Stability is critically important because I think the thing that people fear the most is losing their job, is being banished in some way, abandoned, left fearful – so I try to bring them a sense of stability. The people that are above me set those standards, so I do react probably differently to them. As far as my conversational self, it's the same all the way around. But what we address and how we address it is different.

When talking about modeling integrity for either group, it's the same both ways. "What you see is what you get." When I interview for people or I interview people, I tell them both, "What you see is what you get." When

I interview someone anywhere from an administrative associate to a coordinator to a secretary, or I'm interviewing with the CEO from this company for myself, I say, "This is what I bring to the table. This is what I believe in. This is who you've got and this is my style." I tell them both the same. Consistency in life is a virtue and that's why it important for me to ensure stability and safety for others.

I want those I associate with to know where I stand in all cases. I want them to know I'm here; that they can count on me; that no matter what, we'll walk through it together. If they come screaming to me in crisis, I'm going to extend that sense of safety and stability to them by saying, "Okay, we'll just walk through this together."

Also, justice entails fairness and equity. I think all of us know that the world is inherently unfair at times. Yet, my top three strengths related to justice would be teamwork, leadership, and equity -- because I think that if we give equal opportunity, we automatically are focusing on fairness and equity. I believe strongly in teamwork; I think that's absolutely how we get things done -- that we don't do it alone. I think leaders grow other people to be the best that they can be. My goal here is to work myself totally onto the golf course, and I'm making good headway because we're growing leaders and sub-leaders who will be leaders and who will grow their people -- and to me that's what it's all about.

Justice is also about social justice and issues of race, religion, gender, etc. I think that that's a huge part of it. I think also there's equity one-on-one with gifts that we're given as human beings, and talents and those kind of personal equity issues. How do we measure that and how do we give value to what everyone brings to the table? That's the second layer. I think to me there's two layers to justice that are equally important.

Taylor ~ Leadership is an integral part of justice, which is a character strength of mine. We're all humans and we have our own biases—I believe, for the most part, the people that I have managed or the people that I encountered in leadership positions have viewed me as fair. I feel like sometimes I've worked for people, particularly the President, who was so stifled, no matter how good you were, they would just come at you. I hope that even those employees who aren't exactly the way I'd be feel I value them and treat them in a fair manner. I think if you're perceived as an unfair leader, you cannot lead.

Shannon ~ Diligence is important because it's about the whole driven thing. My curse and my blessing is perseverance. I just will keep going way longer than I should sometimes on something that I decide I'm going

to do. But, again, that's being who I am. That's my own personal integrity, and I'm not going to be satisfied if I stop, even if it's probably in my best interest.

Kelly ~ Wisdom and knowledge are definitely character strengths that I have strengthened over the year. I can't remember a time when somebody wasn't telling me how smart I was. Even though that may sound phony, it is what it is. I remember my parents showing me off at a card party they were giving because I could tell time. I don't think I was yet 2 years of age. I could tell time. I had one of those clocks, and they'd spin the hands and then they'd say, "What time is it?" and I would say, "three o'clock" or "one-fifty" or "six-thirty." Yet, my smartness has never been something that I was comfortable with and it's never been something that I was praised for or that made my life easier. It has always made it harder. I went through high school with pretty bad grades because I just didn't care. The circumstances of my family life were really dysfunctional at the time. Hence, I don't remember my intelligence being a positive thing. In fact, when I was in about second or third grade, I was in a catechism class and the priest said that our highest and most holy calling was to be wives and mothers. I remember, even at that young age, asking him, "Father, then why didn't He make us with smaller brains and more uteruses?" This is a second grader. I've still got report cards where teachers have written on there, "This is an extremely precocious child." Even in graduate school, I could finish the sentences of my professors. It used to annoy my fellow graduate students to no end. They thought I was showing off, but I wasn't showing off. It's just me being me. It's like an innate knowledge already exists within me that I don't need to be taught. It's in there. I pursued the doctorate because I wanted to validate that, not because I wanted to be seen as smart. As a child, I felt like an old spirit – and I still do. I felt old when I was young. Clearly, I was old before my time. I have always felt that way. I've felt like a very old soul all my life.

Shannon ~ If you really operate within that spiritual sense of generosity, you are almost going to have to be kind. You will be aware that people are often in tough places and that "there but by the grace of God go I." You will accept that people will step out and help make the world a better place. I think that whole generosity of spirit philosophy is expressed through altruism and giving of yourself.

I was grateful to have people in my life that gave me some sort of courage or confidence. I think you can get through a lot of hard times when you learn to be grateful for the ups and the downs in life. It's sort of that whole attitude of gratitude, that no matter how hard things get, they still are pushing you to personally grow.

I think the people that I like being around, whether friends or colleagues, and who I choose to spend time with are not those negative, *I got a bad deal so I'm sour* people. The people I choose to spend time with are like, "Wow, that gave me an opportunity to learn something." I'm not grateful that something bad happened, but I was fortunate enough to have had the kindness of somebody that gave me a boost when I needed it. So I choose to look at that side and to be grateful rather than to be resentful and think only about the terrible. Gratitude and hope are really tied in together.

Chris ~ Courage includes diligence, authenticity, and enthusiasm. I think at the heart of courage is authenticity. I think it's fundamentally knowing yourself. The first piece of it is to know yourself and what really is important to you and then reflecting that in your behavior by living it. It's related to honesty, which I equate with integrity. It's basically understanding yourself and then living that out in what you do.

I believe very deeply that its important to treat everyone the same and be the same with everyone. I have worked very hard for a long time to not be different with others – to be the same person no matter who I'm interacting with. I mean to be consistent. In my past, there are certainly memories of times when I didn't feel I accomplished that. But early on, I realized the value of consistency – of authenticity. I worked hard to be consistent in behavior, word, and deed. The word that kept coming into my mind from early on was *sycophantic*, which is the kind of behavior I have never found appealing. Although I have not always been successful, I have tried to avoid any perception of such behaviors. Ultimately, it's been more on the range of dealing with superiors that I focused on and worried about this issues rather than with staff or students. Authenticity just came naturally when I dealt with others. I think that goes back to my fundamental values of focusing on kindness and equality. If those are in place as true values, then you're not able to lord it over people. And if you do, you feel badly.

Temperance includes forgiveness and modesty. If one has a little sprinkling of modesty, they can go far in life. Modesty also supports integrity. I think it manages the self-importance that comes when people feel successful. Hopefully, it balances their awareness of their successes with their limitations they still need to work on. I think it kind of calls on one to be a little humble regardless of their greatness.

Forgiveness is the key to avoiding living with grudges and animosity that really drives people to distraction. Yet it's very hard to forgive. I can point to some instances where I think I haven't been successful or have been modestly successful, and others that I've been successful in

overcoming some deeply held negative feelings about people or situations. Forgiveness involves an act of forgiving others for things they've done to you or you perceive they've done to you, but it also often involves forgiving yourself -- and they're equally important. There are people who are very important in your life in various ways. Obviously family, but work and friends, as well. To forgive these people closest to you is a whole set of forgiveness that is profoundly hard. Then there are the garden variety of people that you really don't like very much anyway -- that just aren't as important in your life, but to whom you still need to find forgiveness for because they can create problems for you if you allow yourself to dwell on these things.

Personal Insights Gleaned from the Aftermath

Chris ~ My goal for staying was pretty clear. I was put into a situation to advance this passion of mine and that was exciting to me. Nonetheless, I had serious concerns about staying, but I was willing to try to get in there and see what would happen. Over time it became increasingly apparent that their aggressive style and bullying ways, coupled with a self-serving agenda, was not going to work out for a variety of reasons. Also, it wasn't fulfilling my sense of working on this in a way that was consistent, because to a certain degree the political agenda was being played out and that wasn't the type of agenda that supported such a new and innovative initiative as the one we had been working on for a long time. Unfortunately, because I was part of their administration, soon my name would be attached to their political agenda and negative tactics, so I had to resign to allow my integrity to remain intact. As it began, it was a pretty decent attempt of mine to see if something couldn't be worked out in this new role.

My departure was negotiated. It was discussed. The main thing I had going for me at that time of stress was that clearly I had a good reputation. There were a lot of people that cared about me and they were aware of that.

Lee ~ At that point, doing the right thing was paramount. If I were faced with the same situation today, I wouldn't have as much fear. I'd do the same thing but I would understand it better because I learned so much from that. I think doing the right thing is more important.

I know that I personally grew through that stressful process. Especially afterwards. It took a long time, because there were a lot of wounds. The trauma was very deep and it took me a long time to heal from it because it struck at every level of who I was. When someone rips from you, in such

a humiliating way, your very profession, it takes everything from the professional side of you. It takes a long time to heal that. There's ego involved in that and there's lots of feelings involved in that. They took away my ability to work at an institution that I loved and put a big black mark on my name. You know that was very painful, but it didn't stop me from doing what I did.

In my same situation, some people might have thought, "Well how's this going to impact me?" I thought, "How is this going to impact others if I don't stop it?" So what's the difference? Maybe I prefer to look at it as the degree of fear we each perceive. Maybe others' degree of fear is higher because the things we fear are very basic needs. We fear things being taken from us -- so maybe that fear overwhelms us at different times in different situations. Maybe it's more something along that line. I don't know. I do know that there are people who have different moral values -- who have different moral compasses. I don't know if that's part of it. I really don't tend to believe that -- because there are a lot of really good people who maybe have not been put in the situation to the degree that I was to have to make that choice. I think there's not a human being alive that doesn't take the easy road at times, including myself, and have to go back and go, "Ugh, I really should have gone left when I went right." So, it may have been the degree of pressure that they were under -- or not.

When asked if I lacked fear, ignored fear, or pushed through my fear, I have to say, "I shook through my fear." No, I was fearful. When I became aware that the Chair knew that I was going upstairs seeking help with Administration, I was terrified all the time -- but I did it anyway. I just knew that I had to.

Kelly ~ There is one primary factor that has repeatedly led me to find the courage to take the administrative stances I have. I don't think I could have lived with myself if I didn't. It's like that story we were watching on the news where the guy jumped on the railroad tracks to protect someone who had fallen on the tracks. Maybe he didn't act because he was brave, but because he knew if he didn't that person would be hurt. It's not really bravery. You're not thinking in that moment, "I'm doing this to be brave." In fact, most of the time you're thinking, "I'm going to get the stuffings kicked out of me if I do this wrong. Or, even if I do it right, this could go really bad on so many levels." Yet you know that if you don't do it, then for the rest of your life you're going to say, "that didn't happen because you didn't try."

Shannon ~ Knowing everything I know today, I would still take the same principled-stand. I just could not, nor would I now, look the other way about the hazing policy and practices.

Lee ~ Knowing everything I know today, I would change nothing. Absolutely not. I would have better insight into what was going on with me and I think that the wounding would not be so deep, but other than that, I would not change a thing. I was very proud of the way I took the stand. I didn't attack the Chair, personally or professionally. I went and asked genuinely for help from Administration so that I could help him understand. I don't think I did it in a malicious way. Therefore, I wouldn't change the way I did it at all.

Kelly ~ In each of the instances where I opposed unethical and illegal situations, I would not change anything that I did. The only thing I would have done differently is that I would not have allowed the initial situation to be muzzled – when I first began to hear rumblings about what the Athletic Department might have been doing. So many times the President said, "this is a personnel situation -- we can't talk about it," and people in the institution were literally crying to know what was happening. Was anything being done? I wanted to tell them so they could be assured the right thing was being done, but when you deal with an NCAA investigation, the institution must sign a confidentiality agreement that says you won't discuss any details with anyone. Even when the investigation was over and I wasn't bound by the confidentiality agreement any longer, the President was using HR rules and *confidentiality* to silence the situation.

Other than doing things politically different, I wouldn't have done anything else differently because to do anything differently would have been wrong. If I'm an athlete and I'm getting 29 hours of credit, 15 hours of it in PE classes that never existed, and the other 14 hours in biology and chemistry and history and comp and college algebra, that is just plain wrong. There are students out there enrolled in those classes legitimately working their tails off for grades -- leaving their families, leaving their kids, holding down two or three jobs -- to do it the honest way. Those hard working students are coming out with a C and they've sacrificed. Yet these athletes are coming out with an A for having done nothing -- for having never attended their classes that never existed in the first place or because someone else did their work or gave them notes or took the class for them online or manufactured their papers for them. That absolutely devalues the honest-gotten grades of all the other people who are out there busting their tails doing it the right way.

I know in my heart and mind that I couldn't have colluded or looked the other way. I know I couldn't have done it. I say that with absolutely 1,000% surety. If I'd gotten myself into a situation where I had to collude or look the other way or somebody was going to hold something over my head or blackmail me with something or threaten me somehow, I'd have been more likely to just come clean on whatever it was I did -- to not add an additional wrong with further dishonesty or a cover-up.

There have been so many opportunities in senior administration over the years for me to do wrong. There still are. I can manufacture travel. I can tell my secretary I went on a work related trip three times when she was out all day at her doctor's appointment. What does she know whether I went or not? That's 40 cents a mile. I could do that very easily, but I really do believe that you don't do that stuff because then you don't know what the next thing around the corner is. Why would you voluntarily put yourself in a position where you're at risk? I've had male students come on to me, and I think to myself, "What are you thinking? Is this worth pissing your career away?" I don't care how cute he is or that he looks like Indiana Jones in his little leather jacket! Forget it! You can't do that.

I know that I could never have colluded. When I unearthed much of the corruption, I was sitting at my desk in my bedroom doing a priority investigation from home. And when I found what I found -- the evidence of the online cheating -- I put my head down on my desk in my bedroom and I cried from a place that I can almost not identify. It was physically painful to know that somebody who was functioning as an official at the college had perpetrated such a horrible dastardly plot. Taking these students who know the least about being in school to begin with and prostituting their academic career on the altar of athletics…. I just cried. I remember my husband hearing me and asking, "What's the matter? Did someone die?" I just lifted my head up off the desk and said, "No, but someone's going to." That's when I got mad. I'm answering with surety that I know I could never have colluded because it just goes against the fiber of who and what I am to do that.

Taylor ~ Not everyone can make the same principled choices that I have made. It's not that I have more or less courage than they. I think there's different shades of all this. With the Senior Administrator from one of the other departments at our institution who colluded with her corrupt Chair, I think you've got somebody who at the core part appears to be very insecure -- and I think her Chair, who strongly influenced her, was very charming and likeable. I think she felt very safe in that situation doing as he told her to do, even if his requests were unethical and illegal. I also think that no matter how insecure you are, you cannot make me believe

that those types of mistakes – flat doing illegal things for him -- are not fundamental character flaws.

I can tell you that I've crossed paths with her after she was terminated for illegal acts; I would never ever have hurt any organization that I worked for by colluding with corrupt people. Anybody who has that amount of weakness cannot consider herself a leader. Where was her moral compass? There's just some things you really can't do in business and survive – and corruption – lack of integrity – is one of them.

I would not have colluded or looked the other way. Fortunately, my Chair never asked me to do anything illegal. If you're my boss, you're going to get the sense immediately that I'm not going to be asked to do anything that's illegal. I think these people who are predatory -- that ask you to do unethical things -- have a sense of who they are asking. I mean people aren't going to ask people who they think are going to tell them, "Hell no!" I think they probably got that message from me. I think I would send that sense. I think that gets into how appropriately you project personal, ethical, and moral boundaries.

I did find it difficult to work for an institution with so much corruption in other departments. I'd never work for somebody with that much corrupt leadership again.

Lauren ~ I'm not sure where my moral courage came from that allowed me to take a stand against such an immoral policy of discrimination against gay students. Other than just really honestly believing that you just can't do a job unless you do it for the right, such as trying to do the right thing. I also had my own personal agenda of social justice so I used my position to try to impact change for the good. Not for me personally, but for a greater good -- for me, it wasn't just lifestyle or anti-discrimination -- it was trying to get people to accept differences.

We had just been developing some stuff with diversity -- some right stuff -- and it was not a popular thing to support gay issues, particularly because people just put their heads in the sand and didn't want to believe that there were issues or problems. They certainly didn't want to believe that there were gays and lesbians at their institution. I don't remember what the situation was, if it was AIDS Day or a protest -- it might have been a protest over some of what we were dealing with -- but the police were there. They thought it was going to get real violent and they called me and had me look out the window overlooking the protest. The police were out in front of our building and said, "Do you know any of these people?" I guess they assumed that I would when I didn't. They wanted me to

identify the gay protesters. I know that they thought that if I'd known somebody at the public demonstration, I would give them up. Yet when I didn't, I think they really felt like I was trying to hide some information. I wasn't. It was a very strange time.

This was at the same time I was personally dealing with the issue of my fellow administrator battling cancer -- she was very ill and I was torn about having to morally decide whether to stay by her side at the hospital or to leave her side to return to my job as senior administration would have desired. Because I'd been brought up to "Do your job and don't sacrifice it," to a certain extent, I was torn by this moral dilemma. I had vacation days so I took vacation days. Yet the senior administration desired my return -- even knowing of one of the top administrator's battle for her life and my desire -- moral duty -- to be there to comfort her and ensure her care while she was alone and far away from home. Even if that had been any other administrator, not my friend, in the hospital bed, I wouldn't have done much different. No one should be left alone in their time of need. Why would you treat anyone that way? Leave them to fend for themselves? My deal was that anybody else would have taken sick leave to care for a friend. Yet I had taken vacation days instead; so you're eating up vacation days. It was just a very unfair practice based on an immoral policy that I just knew I wasn't going to change. On top of everything else, you're dealing with the profound understanding that, "Man, this wasn't right."

I think some of those administrators who colluded, collaborated, or just looked the other way about this immoral policy just simply didn't care. Some didn't want to get involved because they didn't want to risk. There were people who were supportive of a more progressive and moral practice and policy that wanted to make a difference at whatever level they could. Yet they would always say, "GLBT protections can't happen" and "it's against the law" and "it'll never happen." They truly tried to really discourage me from continuing that battle.

People have said, "Why have you been here for so long? And why do you stay in this kind of environment?" I've always said, "Because I really think you can make a difference." I think you can influence either people that you're around or policy by being there and open about yourself. Therefore, sometimes, I think you have to stay at one place a long time to be able to do that. There are too many intricacies that you really have to learn to affect policy changes. The timing has to be right and you have to know how to maneuver here and how to do this and do that to be politically effective.

Knowing everything I know today, I would not do anything differently. I've thought about that a lot. I wouldn't -- there's not a thing that I would have done different. As a friend so aptly put it, "so, you would still throw yourself on the sword for other people?" and I have to reply, "Absolutely yes!"

One thing that helped sustain me through many of those dark nights was my sense of optimism. I am an eternal optimist. I really am, probably to a fault. I always believe that you can make a difference and you can make things better. Not to say that there aren't some problems in my life, but I'm not a gloom and doom kind of person at all. I'm really more like, "So, let's figure out what we need to do and a way to do it."

I've pretty much been optimistic all my life, but I do think people sometimes go one direction or the other with age. They either become real cynical and are just like, "Man, everything's bad with everything and every person." Or, they mellow with age. Or they've just always had that kind of nature. I've always believed that there's good in people and that things, in general, will work out. I'm lucky because I think that's a lot better way to go through life than the other way.

Chris ~ Ultimately, I would define my issue with administration as much more a philosophical issue – I simply could not forward their political agenda nor tolerate their aggressive bullying style. I know that I didn't think it was the right thing for the institution.

I was just unwilling to live with what was going on, but I also didn't feel that it was appropriate to try to make a major statement. After I left that position, I knew that what I was moving into was going to present me with a very potentially fruitful environment to do what I was passionate about. Practicality dictated not doing anything that would burn any bridges or jeopardize the potential of success and positive results from coming into this new position.

The political process at the institution had just become so inauthentic -- too much sycophantish behavior. To last in that type of culture, you just really have to try and play the game their way, pat them all on the back, or get out. So there were a whole host of things going on. It was a vast relief not to be involved anymore.

Knowing everything I know today, I would not change any of what I did. I feel that I was able to influence the whole evolution of that situation in some very effective ways. Even though I was frustrated and angry at certain times during this situation, I was able to get through it without

burning any bridges. I had to acknowledge to myself there would be no tangible advantage or potential for any positive change if I stayed in the situation any longer. It was not that kind of situation. Yet change needed to come and I wanted it to be on some of my terms where I could transfer to another position and still work on my passions.

I feel very fortunate in so many ways. I'm very happy to be where I am right now. The thing that I've realized is if I had stayed in that same administrative role, I would have remained miserable. I always assumed that I would stay in administration and end my career there, but it was not to be so. I didn't go in to thinking further than that really. And yet, I began to realize that I was definitely coming to the end of my energy and desire to do all of that. Would I have stayed if things hadn't changed? I'm not sure what would have happened, but I think I would have gotten to the point where I would have told myself, "I've just had enough." I think that was already in the back of my mind.

As I look back on what did I really accomplish, I can make a case for having accomplished much in my administrative career. I feel very, very fortunate. The whole quality of my life has improved. I always felt like I would enjoy teaching, but I have enjoyed it more than I expected. That's a true blessing on top of things, and then to be able to be involved in so many of the college's and community's activities fills a need that I have. Community engagement in higher education is something that is very important to me.

Lee ~ I'm very optimistic about the future. I truly, truly try to live just today. If I do everything that I'm supposed to today, tomorrow's going to take care of itself. I really believe that. Professionally, I've had many times where there have been gaps and many times where I've been blessed like I am now. All I would like to do is have a balanced life and do things I enjoy and continue to do those types of things to the end of my life. I'm the most blessed of people. And I believe that'll continue. I really believe that what you give to life you get in return.

Summary

All six participants had strong value systems, understood the risks associated with taking their administrative stands, and then persisted through the indirect and direct institutional pressures exerted upon them to work toward positive change for the public

good. They understood the costs and benefits of such action and acted accordingly. For them, these were the right choices. These were their only choices.

Their personal insights into why they did what they did, why they were unwilling to look the other way or be silenced, and how they felt about those who did not make the same choices as they did provided significant indicators of why they had been evaluated to be authentic leaders. Their actions were congruent with their values, thoughts, and words and their optimism about their future after experiencing such adversity underlies their sense of having stayed true to themselves while continuing to follow their purposes in life.

Chapter V. Analysis and Discussion

Introduction

Both a normative analysis and an ipsative analysis were completed from the results of this study. Comparisons with the authentic leadership literature and the moral courage and courageous principled-action literature were discussed.

Normative Analysis

The normative analysis for this study discussed the themes and factors that paralleled the study's results with the authentic leadership literature and the moral courage and courageous principled-action literature. Those factors confirmed by the literature were listed, as were those factors that were absent from or added to the literature. The research method was briefly analyzed, which indicated dependability (reliability), credibility (validity), and conformity and transferability (generalizability).

The discussion for this study interpreted the important factors indicated by the study for authentic leaders, moral courage and courageous principled-action, and higher education administration. The study results were discussed along a continuum of authentic leadership from authentic to very authentic to highly authentic leadership.

Finally, implications for this research were discussed using insights learned from the participants, which conceptualized the literature review in a pragmatic manner. Insights were discussed, as well as recommendations for further study. Concluding thoughts elucidated why the authentic leadership path mattered to those using it to follow their purposes in life. It inferred the power of authentic leadership and its impact.

Confirmed the Research Literature

Seven themes from the study results were identified and discussed, as well as compared to the research literature. Participants' insights and analyses were discussed. Themes included: follow your purpose, character matters, focus on people, the future is everyone's tomorrow, personal growth = lifelong learning, life is a balance, and lead ~ don't be led.

Follow Your Purpose

The authentic leadership literature posited that authentic leaders would have an awareness early in childhood of a sense of purpose in life; therefore, they would fervently follow their perceived purposes in life, and would use leadership when appropriate to further those goals supporting their purposes in life. As individuals aged, developed, and evolved, they would be able to clarify those purposes in life into personal activities and potentially into a professional career.

The authentic leadership literature stressed that authentic leaders' purposes in life were future-oriented and focused on their transcendent values. They would have a significant interest in personal development as a pathway toward developing themselves and others while pursuing their purposes in life. Finally, their purposes in life would be strongly motivated by their sense of spiritual development and evolution over their lifespan. Following their purposes in life would lead to a sense of being true to themselves, which would develop a sense of eudaimonia, personally, professionally, and universally.

The moral courage and courageous principled-action research also posited that individuals were more inclined to take action when those actions supported their purposes in life. The probability of courageous principled-action was proportionate both with the levels of moral development, as well as with the congruence between the outcomes of the action with the value system supporting the decision to act.

Character Matters

The authentic leadership literature indicated authentic leaders would self-identify as moral individuals, which would be supported by the observations and perceptions of those around them, personally and professionally. Authentic leaders would self-identify as morally worthy, trustworthy, credible, respectful, and fair-minded individuals. They would view themselves as having high integrity with a focus on being accountable for their words and deeds. Authentic leaders would attest that character matters, as it is the foundation for their reputations, personally and professionally. They perceived that character provided them with the moral foundation to lead others.

The authentic leadership literature specified that authentic leaders were cognizant early in their lives of their progress toward moral development. They were cognizant of their values, their priorities, and those things that motivated them toward action. Such early recognition of moral development would enhance their abilities to be true to themselves; to sense their purpose in life; to find their own voice; and to feel compelled to model the way for others.

The authentic leadership literature stressed authentic leaders possessed the universal core virtues of courage, wisdom, temperance, humanity, justice, and

transcendence. They developed these virtues, especially courage, early in life and learned to manage their life experiences to develop their authenticity. Authenticity then developed based on awareness of self, values, beliefs, and philosophies that ultimately led to developing stronger self-regulation: awareness and regulation then led toward acting transparently, which developed integrity that was identified as character.

The authentic leadership literature stressed authentic leaders focused on core values and acted on these values. They had a strong sense of agency that allowed them to have the confidence and competence to act successfully. Over their lifetimes, authentic leaders focused on transcendent behaviors with the priority of enhancing the public good through virtuous and altruistic actions. Their strong moral sensitivities coupled with their effective moral judgments motivated them toward moral actions. Authentic leaders' use of multiple ethical philosophies documented their broad moral purview.

The authentic leadership literature cited authentic leaders as consistently focusing on others before self (altruism), focusing on transcendent values, and choosing congruence between their moral development, transcendent values, ethical philosophies, and value motivators. They chose to express themselves through principled-actions and personal insights while focusing on meaning-making over skill acquisition. Authentic leaders were passionate about their values, willing to take action based on those values, and concordant with their priorities, motivations, and intentions to act.

Finally, the authentic leadership literature asserted that authentic leaders were set apart by their higher levels of self-awareness, self-regulation, positive modeling, and high

levels of integrity. They then expressed who they were through transparent authenticity, authentic relationships, and follower development in their personal and professional lives.

The moral courage and courageous principled-action literature maintained that leaders would act only if the decision to act was principle-driven. Without strong moral development and an awareness of their value systems, individuals would not make the decision to act, much less be motivated to act.

Focus on People

The authentic leadership literature concluded that authentic leaders were other-focused rather than self-focused. This other-focus, however, was a transcendent universal focus which viewed individuals as a part of humanity rather than an in-group or an out-group. Authentic leaders believed in using exemplification (self-identifying as moral) as positive modeling for moral and ethical attitudes, words, and deeds for their followers. This focus on follower development was solely for the follower's personal growth so collectively a difference could be made. Therefore, authentic leaders worked transparently to develop authentic relationships with their followers. In these authentic relationships, they selectively disclosed their thoughts, words, and experiences to influence positively their followers' personal and professional growth. As a result, authentic leaders were often perceived as having higher levels of empathy, sympathy, tenderness, and compassion.

The moral courage and courageous principle-action research literature maintained those willing to act in extreme situations did so because they possessed heightened levels of inclusiveness. They saw people as people and not as *us vs. them*. Those willing to act

courageously felt a heightened sense of responsibility for others and were willing to act based on that moral imperative.

The Future is Everyone's Tomorrow

The authentic leadership literature specified that authentic leaders focused on long-term interests that promoted, enhanced, and sustained the public good. This universal and futuristic foci were exhibited by expressions of high intention to act for the betterment of the institution and society. Authentic leaders often viewed themselves as working with society rather than working for an institution. Therefore, they often felt as the standard-bearers for their institution. Their strong sense of moral responsibility for others often motivated them to take actions that could change the status quo for others and/or their institution. Without higher moral capacity, maturity of spirit, and a focus on the greater good, authentic leaders could not make or uphold the difficult decisions that were so often necessary to ensure a positive future.

The moral courage and courageous principled-action literature noted that short-term focus could inhibit taking courageous principled-action. Individuals with a long-term focus could use resilience and persistence to endure the internal and external pressures that supported inertia over action.

Personal Growth= Lifelong Learning

The authentic leadership literature explained authentic leaders had a high commitment to self-development. Consciously working toward enhancing moral development and personal growth gave them insights into which areas of development needed additional attention. Each authentic leader focused on personal and professional

growth and mentoring others: not to reduce their workload by developing more leaders, but to develop followers for the sake of the follower's personal development.

The authentic leadership literature stressed that authentic leaders utilized self-reflections and meta-cognition to enhance their self-transformations and authenticity. Their propensity for seeking out and exploring moral dilemmas, then repetitively engaging in and exercising moral decision-making, allowed them to habituate authentic and courageous patterns for future actions.

The authentic leadership literature specified that authentic leaders used their higher levels of optimism, hope, confidence, and self-efficacy, which enhanced their personal developments. Therefore, they had a higher capacity for forethought, intentionality, self-reaction (self-motivation and self-regulation), and self-reflection (internal sense of competence of thought and action). All of these dimensions allowed authentic leaders to develop personally and professionally toward an enhanced eudaimonic state for themselves and others.

The authentic leadership literature documented that authentic leaders who focused on developing their political skills were able to express passion for their transcendent values, choose prosocial behaviors, and choose to act in a manner that integrated their purpose in life with their personal and professional lives. Political skills did not make a person authentic, but allowed them to express themselves authentically and effectively in relation to those goals that supported their passions.

The moral courage and courageous principled-action literature contended that individuals who worked to be self-aware, principled, courageous, other-focused, and

resilient would be able to take courageous principled-action. Additionally, a focus on their purpose in life, their ability to use hope and optimism as a catalyst for action, and their self-confidence to take action would allow them to make that decision to courageously act above and beyond. Without a conscious focus on personal growth, leaders were unlikely to develop sufficiently to motivate themselves through and beyond their fears toward courageous principled-action.

Life is a Balance

The authentic leadership literature theorized that authentic leaders balanced their personal and professional lives, making high risk decisions only after balancing the costs and benefits. Rather than act impulsively, authentic leaders used refrain power to reduce the probability of acting immorally and used proactive power to increase the probability of acting morally. Balancing refrain power with proactive power, they expressed their true selves. Authentic leaders also drew meaning from their experiences and then balanced these new meanings with insights from their own previous experiences while learning from others' experiences and insights. Through these new levels of meaning, they gained even further insights into the priorities in their personal and professional lives.

The moral courage and courageous principled-action literature asserted that individuals who balanced the costs and benefits of taking courageous principled-action eliminated impulsive action. Foolhardy actions benefited no one. Higher levels of wisdom and empathy enhanced forethought and intentionality that resulted in effective expressions of courageous principled-action.

Lead ~ Don't Be Led

The authentic leadership literature explained that authentic leaders used their character strengths and attributes to give them the courage, resilience, and persistence to oppose and withstand institutional pressures to maintain the status quo. Using their attributes of high self-efficacy, wisdom, empathy, passion, courage, compassion, positive deviance, and resilience, they stayed focused on transcendent behaviors that supported actions, as well as their purposes in life. Authentic leaders had the drive, desire to lead, honesty and integrity, self-confidence, cognitive ability, and knowledge of their industry to influence others to act positively toward supporting the public good. Their higher levels of trustworthiness, honesty, credibility, respect for others, fairness, and accountability for their thoughts, words, and actions enhanced their influence. Authentic leaders' high levels of self-determination predisposed them to make extraordinary efforts, especially when such efforts promoted transcendent behaviors, prosocial behaviors, and positive deviance.

The authentic leadership literature noted that authentic leaders used their higher levels of virtuousness and empathy to choose altruism both to promote and enhance other people. Their higher levels of intention and engagement motivated them to intervene on others' behalves even when they were peripherally involved. Authentic leaders could prevail over pressures to be inauthentic and/or to dissuade them from taking actions against immoral, unethical, and illegal policies or practices. They withstood extreme pressures without shying away from the situation.

The moral courage and courageous principled-action literature further asserted that individuals who overcame multiple fears from intense institutional pressures were highly self-determined, believed in the justice of their cause, and persisted against all obstacles. Their intuitive sense of right motivated them beyond their fears. Heightened levels of empathy for themselves and others kept them focused on their strong sense of responsibility for others, which ultimately allowed them to endure the intense institutional pressures brought to bear against them.

The authentic leadership literature asserted that institutions often retaliated by threatening the position, career, and livelihood of authentic leaders. Such pressures often affected mental, physical, and spiritual health of those authentic leaders who refused to act falsely, to avoid punishments, to seek rewards, or to please other people.

The moral courage and courageous principled-action literature argued that individuals who withstood intense institutional pressures did so because "they believed that the costs of inaction were even higher" than the costs of action" (Glazer & Glazer, 1999, p. 290), which explained authentic leaders' forethought and intentionality regarding the risks inherent in taking courageous principled-actions. Institutions used intimidation, reprisal, and termination as retaliation for opposing the status quo. The institutional purpose was to exact a heavy price from those who opposed institutional practices and policies, even when the change would have been positive and beneficial for its culture and constituents. Retaliatory behaviors from institutions, especially terminations, often resulted in blacklisting, severe financial setbacks, negative impact on family and friends, as well as personal dislocation for the authentic leader. The authentic

leadership literature observed that authentic leaders, accustomed to defying the status quo, were perceived as difficult, opposed, and unpopular within their institutions, because they often ignored or defied institutional constraints that violated their value systems.

The authentic leadership literature maintained that authentic leaders were affected differently than inauthentic leaders by such adverse situations. Authentic leaders reacted to internal pressures from their value system rather than reacted to external pressures of disapproval and intimidation from their institutions, family, or friends. Their focus remained on their purpose in life, which gave them the courage to withstand the mental, physical, and spiritual impact. Authentic leaders found constructive positive meaning from their adversity, viewed adversity as opportunities to enhance learning, and then used self-reflection to make meaning out of and glean insights from their experiences. In extreme situations, authentic leaders were willing to practice self-sacrificial leadership without compulsion or conflict. They were able to survive, adapt, bounce back, and flourish despite their adversity.

The moral courage and courageous principled-action literature confirmed that individuals had to have extraordinary courage and resilience to withstand intense institutional pressures. Focusing on their intuitive sense of right, their sense of opposition to the value system of the institution, and their belief in the justice of their cause intrinsically supported such individuals who defied and broke away from the status quo. The attributes of individuals capable of withstanding such intense institutional pressures included being other-directed and focused on transcendent values, as well as having heightened levels of self-efficacy, courage, resilience, and sense of inclusiveness.

Even with these strong attributes, these leaders exhibited a greater comprehension of the need to help others, a willingness to risk action, a supportive informal network, a greater attachment to people with attendant heightened feelings of responsibility for them, and heightened levels of empathy. Without empathy, attachment, and identification, institutional pressures would constrain courageous principled-actions.

Added to the Research Literature

Gaps in the authentic leadership literature were noted, such as balanced moral development and continuum of action. This study noted the category of self-identified high achievers, a category absent from the authentic leadership literature. Finally, the study identified three insufficiently developed character strengths noted by the participants of the study.

Balanced Moral Development

The authentic leadership literature consistently posited the necessity for authentic leaders to exhibit strong moral development. However, no discussion was visible in the authentic leadership literature about the foci of moral development that enhanced authenticity. Would Kohlberg's ethic of justice be sufficient for moral development that promoted authenticity? Would Gilligan's ethic of caring be sufficient for moral development that promoted authenticity? Would Hoffman's emphasis on empathy to balance justice and caring promote more authenticity than a lower emphasis on balance through empathy? With the literature's emphasis on empathy, other-directedness, and responsibility to others, what focus of moral development would lead to authenticity and what focus of moral development would lead to higher levels of authenticity?

This study on authentic leadership suggested that a focus on justice, a focus on caring, and a balanced focus on both caring and justice based on high levels of empathy promoted authenticity. The question would be whether one focus promoted higher levels of authenticity than another focus. The gender issue of women promoting caring with minimal regard for justice was dispelled. All six participants were women who predominantly valued equally justice and caring. This study was unable to measure accurately levels of authenticity or lead to any valid conclusions without the use of a psychometric assessment tool to measure levels of authenticity and leadership. This researcher did not identify a psychometric assessment tool for this purpose.

Continuum of Action

The authentic leadership literature stressed that authentic leaders act authentically all the time. The primary emphasis appeared to be on day-to-day living. As authentic leaders moved toward higher levels of authenticity, the nexus between higher authenticity and higher levels of motivation toward courageous principled-actions must be researched and documented.

The six participants in this study, the actions they took, and the consequences they endured while trying to move their institutions toward a more authentic culture indicated independence of thought, higher tolerance for ambiguity, greater confidence in principles over personalities, acceptance of deferred gratification, and formidable persistence and determination. Such required attributes meet the standards documented in the moral courage and courageous principled-action literature. Adding the work from this research literature to the authentic leadership literature would effectively indicate what attributes

would be needed to develop the moral courage to act in extreme situations, which clearly would require more than heightened authenticity and a stronger value system.

Self-Identified as High Achievers

The authentic leadership literature suggested authentic leaders were driven to follow their purpose in life, driven to follow their value system, and driven to act upon this value system. However, *driven* was not necessarily synonymous with *high-achieving*. This study resulted in all six of the participants self-identifying as high achievers. As high achievers, most of the participants were in senior administration at a very early age professionally in their lives and had earned a MBA, a PhD, or an EdD by their twenties or thirties, which gave them the credentials to move into senior positions in higher education administration.

All six participants discussed being very dedicated to personal growth. As high achievers, they had high standards stressing lifelong learning, honesty about themselves, and an accurate assessment of their strengths and weaknesses so they could direct their interests and studies as they continually worked on self-improvement. As high achievers, they maintained this type of a focus far beyond a fashionable fad and incorporated it into their every day lives. As high achievers, they maintained self-improvement despite setbacks or adversity, and persisted with working toward accepting reality, identifying a more positive reality, and working toward making this reality a part of their lives.

All six participants indicated that public perceptions afforded them either a positive reputation or a negative reputation. They acknowledged that a negative reputation would keep them from being able to excel higher within administration, which,

in turn, would prevent them from accessing the power necessary to make a positive change and a broader impact that would result in assisting more people. As high achievers, their focus was first about their perception of their own achievement and, second, about how others would perceive their levels of achievement and their effectiveness with making a difference for others.

Three Insufficiently Developed Character Strengths

The six participants acknowledged what they learned from their confidential ipsative profiles based on the results of this study. As identified character strengths showed where participants had focused their interests and energies, three glaring omissions became apparent. The character strengths of hope, loyalty, and intimacy were not selected by any of the six participants.

Upon discussion, various participants noted that hope connoted uncertainty, which did not match any of their sentiments or personalities. Therefore, most participants selected optimism rather than hope to denote their sense of the future.

Various participants expressed their perception that loyalty connoted blind loyalty toward people. All of them were very loyal to many family members, friends, and colleagues, but never to the level of being blindly loyal to them. They were also loyal to their values and purposes in life, but not in a blind way. All the participants specified that they constantly assessed their values against others' values, challenged their biases when making decisions, and considered the needs, motivations, and intentions of themselves and others when formulating decisions and taking actions in immoral, unethical, and illegal situations. While their focus on principles over personalities might

have been perceived by other people as disloyal, the participants perceived they were being loyal to who they were, their principles, and their purposes in life.

Finally, various participants noted with surprise that none of them had selected intimacy as a character strength. One possible cause for this omission was that when participants spent so much of their lives focusing on others in the universal sense of humanity rather than individuals, they often overlooked the individuals closest in proximity. Intimacy was noted to take *presence* where being there in the moment was required. Participants said that they had learned in their later lives to focus with the same fervor on those individuals closest in proximity as on humanity. Their priority had shifted toward balance in life, which included the issue of intimacy.

Ipsative Analysis

The ipsative analyses of the participants' development, which examined their personal and professional development from their early adulthood to their current personal and professional levels of development, focused primarily on variables from the authentic leadership literature and the moral courage and courageous principled-action literature and how their personal and professional growth matched these variables. Specific results were not identified in Chapter IV because these analyses were offered by the researcher to the participants to enhance reciprocity. These ipsative analyses measured within-person change against the person, and so was confidentially provided to each participant. However, discussions of the collective results of these ipsative analyses follow.

Authentic Leaders

Several participants clearly followed the continuum from authentic leadership to very authentic leadership. Their strong self-awareness, values, self-regulation, positive modeling, and authentic relationships indicated their authenticity, which was primarily developed in early adulthood and beyond. Their courageous principled-actions indicated their authentic to very authentic leadership levels. Analyses indicated a need to focus on enhancing empathy levels, extending compassion, developing wisdom, and extending willpower, coupled with current waypower, to focus on leadership as a potential pathway for purpose in life. Some participants identified focusing on the need to use effectively extreme introversion, when present, to extend themselves to the outside world to affect change.

Several participants clearly matched the highly authentic levels on the authentic leadership continuum. Their opportunities in childhood and early adulthood for moral challenges were higher, which gave them a developmental advantage over the other authentic leaders. Hardships experienced in childhood had an impact on their moral development and decision to follow a different path from the negative role models they had known. Their development of authenticity began early in childhood and then continued to develop throughout adulthood. Their courageous principled-actions, exercised in extreme situations that resulted in their withstanding extreme institutional pressures until their careers were involuntarily redirected, placed them within the highly authentic leader levels of the authentic leadership continuum. Analyses indicated no discernable authenticity deficits. Their challenges included bringing their lives back into

balance, regaining their optimism, and acknowledging to themselves their accomplishments in life. Their focus on the future often overshadowed their focus on the present with its attendant acknowledgement of their accomplishments.

Moral Courage and Courageous Principled-Action

The clearest distinction between being authentic, very authentic, and highly authentic leaders came in the way each used waypower and willpower to withstand institutional pressures while exerting courageous principled-actions. Several participants who conformed to the authentic and very authentic leadership levels exhibited courageous principled-actions to very courageously principled-actions. Analyses indicated fewer positive deviances exhibited routinely in the workplace, as well as a preference for incremental change over high-impact change that influenced the willpower for self-sacrificial behaviors. Self-sacrificial behaviors were primary characteristics required in the moral courage and courageous principled-action literature. Also, psychic fatigue from withstanding extreme institutional pressures influenced resiliency levels. This group of participants balanced the risks inherent in their situation with their waypower and willpower and pragmatically redirected their careers so they could regenerate their psyches to meet the next inevitable higher education administrative challenge they knew would come their way.

Participants who were highly authentic persisted beyond any normal standards of practicality when they exhibited highly courageous principled-actions. Their situations had legal implications that enhanced the extreme nature of their situation. Extreme situations warranted extreme decisions and actions. Hence, these highly authentic leaders

chose to be self-sacrificial rather than pragmatic while attempting to assert high-impact change over incremental change. Extreme situations inherently had time constraints. The political effectiveness of highly authentic leaders, coupled with the type of institution, was proportionate to the length of time they were able to work toward high-impact change. The more politically effective they were, the more time they had to resolve the issue. The more traditional their institution, the more highly entrenched the institution was with the status quo, which reduced the time afforded to affect positive change and reduced the potential for political effectiveness.

Ultimately, these ipsative analyses allowed participants to determine which areas of development they wished to focus upon in the short-term and long-term. Their individual analyses allowed them to understand how closely they conformed to the research literature. The initial understanding of the reciprocal nature of these analyses enhanced the communication between researcher and participant, which enhanced the credibility of the study.

Research Method Analysis

An analysis of the method of using life stories was briefly addressed. Finally, an analysis of the research method indicated the level of dependability (reliability) and credibility (validity) for the study, as well as the conformity and transferability (generalizability) for the study.

Life Stories Method

The life stories method effectively allowed all participants to express their insights into their lives, their values, their experiences, and their aspirations. Each

participant used stories to set the stage for conveying a message or an insight. The insights gained from the story rather than its synopsis was the point. The life stories method was open-ended enough that it allowed each participant to convey what she deemed significant rather than being cued by the researcher toward particular themes.

Dependability and Credibility of the Study

Open-ended questions for this study were based on the authentic leadership model and the research on moral courage and courageous principled-action, which enhanced the dependability of the study for measuring what was intended. Authentic leaders minimized their self-report bias due to their adherence to honesty and authenticity. Multiple times, participants answered questions authentically, but then noted that they realized, based on societal standards, that other responses might be expected. Their honesty, openness, and authenticity enhanced the credibility and dependability of their responses. To further enhance credibility, participants completed a series of written surveys that were analyzed and cross-referenced against the oral interviews given to check for consistencies and inconsistencies of their message. Participants then member-checked their transcripts, their scenarios, and their analyses of their scenarios to ensure the accuracy of their insights and conveyances. This triangulation process enhanced the credibility and dependability of the authenticity of the themes and discussions documented in this study.

Conformity and Transferability of the Study

The participants in this study, as authentic leaders, comprised an authentic leader subset within the total leader population. Based on the selection criteria for the study,

these authentic leaders were in an even smaller subset of authentic leaders who had taken courageous principled-actions to the point of having their careers redirected for taking an administrative stand against immoral, unethical, and illegal policies and practices in extreme situations. Many authentic leaders would be certified as authentic leaders without having to document this level of commitment to authenticity and leadership. Therefore, this sampling of six participants was not a large enough sampling to conform (generalize) to the leadership population, but could be conformed to the authentic leaders subset and the highly authentic leaders subset who had taken courageous principled-actions in extreme situations. Sufficient detail was documented to ensure conformability and enhance transferability for other researchers.

Discussion

Authentic leaders, moral courage and courageous principled-action, and higher education administration were discussed. These categories were discussed within the context of the study results to specify why the themes resulting from the study were important within each category. Each of the discussions followed the continuum from authentic leadership toward very authentic leadership toward highly authentic leadership recognizing that not everyone aspired to or could attain highly authentic leadership.

Authentic Leaders

This study indicated that the six selected participants conformed to Avolio and Gardner's (2005) model for authentic leaders. All highly self-aware and self-regulating individuals, they emphasized positive modeling, authentic relationships, and follower development through their authenticity, transparency, and authentic relationships.

The participants' model (Figure 4.01; p. 272) developed from this study paralleled Avolio and Gardner's (2005) model for authentic leadership by paralleling the dimensions for self-awareness, self-regulation, positive modeling, and veritable and sustainable outcomes. Participants added detail and complexity to their model that emphasized the dimensions they felt must be prioritized to enhance authenticity and motivate authentic behaviors and courageous principled-actions.

The primary difference between the two models was in prioritization. Based on the authentic leadership literature, purpose in life was not necessarily the driver for an individual's evolution toward authenticity. The value system of that individual was the driver. The participants' model proposed purpose in life as the driver, which entailed choosing to work on evolving toward authenticity as supported by the value system (self's integrity).

The authentic leadership literature posited that higher levels of authenticity led to greater motivation toward authentic actions. Being self-determined, self-efficacious, self-reactive, self-reflective, and concordant heightened authenticity. Confidence, congruence, credibility, empathy, optimism, passion, resilience, and transparency fostered authentic behaviors, other-directed focus, and respectful and compassionate treatment of others. To develop the authenticity, motivation, and intentionality to take authentic actions and courageous principled-actions, the moral courage and courageous principled-action literature added the attributes of forethought, intentionality, introspection, long-term focus, affinity for people, and focus on the common good to develop such behaviors until they become second nature.

The highly authentic leaders in this study made these attributes their priority, which was why they possessed higher levels of authenticity than other authentic leaders lower on the continuum. Highly authentic leaders who purposefully and competently chose to take courageous principled-actions to affect substantial positive change worked extensively on their political skills while prioritizing their focus toward high-impact change, principled-opposition of the status quo, positive deviance, and self-sacrifice when necessary. They also had heightened feelings of responsibility for others, heightened focus on inclusiveness, and heightened understanding and acceptance of the interconnectedness of humankind and nature (universalism). When highly authentic leaders perceived that their purpose in life encompassed these concepts, they worked toward evolving themselves toward higher level of competencies so that they could accomplish their purpose in life more effectively. Hence, highly authentic leaders focused on personal growth, high achievement, transcendent universal other-directed focus, empathy and compassion, and a long-term perspective toward veritable and sustainable outcomes. The participants in this study conformed to the description of authentic, very authentic, and highly authentic leaders.

Moral Courage and Courageous Principled-Action

The moral courage and courageous principled-action literature stated that moral courage takes the value system that is accepted in childhood and prioritized in young adulthood and integrates it into the cognitive processes necessary to identify and interpret risks, as well as the behavioral processes necessary to develop persistence and resilience. Only through heightened awareness and heightened development of principles, abilities

to manage risks, and abilities to endure adversity would authentic leaders become highly authentic leaders, which would allow them to choose purposefully and competently to take courageous principled-actions. Most people have an identified value system, but some people lack the clarity of their value system to take a stand in support of it. Most people could adequately assess the risks of immoral, unethical, or illegal situations, but some people lack the willpower and the waypower to manage the inherent risks of these situations. Most people could summon the persistence and resilience necessary to endure certain types of adversity, but some people lack the willpower and the waypower to tap into their resilience and persistence to endure adversity that might not be self-beneficial.

Based on the actions of the participants in this study, the key to courageous principled-action in extreme situations appeared to be the willingness to take responsibility for others because *it was the right thing to do*, not because it was required as a function of personal or professional responsibility. Seizing upon the opportunity to use their available personal resources, competencies, and energies was a choice that many authentic leaders made as they focused on promoting change for the common good. Highly authentic leaders made these same choices, but perhaps with greater conviction and resolve.

Ultimately, the results of this study indicated that the primary factor that separated those willing to take courageous principled-actions from those who were unwilling or unable to take such action was the people factor. A strong affinity for people, an understanding of their needs, and empathy for their plight in life, motivated action. Without these three factors, bystander apathy and inertia prevailed. Additionally, without

a heightened feeling of responsibility for others, a focus on the common good, and a sense of heightened inclusiveness that enhanced the obligation to assist others, most individuals would not have been motivated toward action, especially in extreme situations.

All the participants in this study were willing and able to take action to assist others through their positions of influence and power in higher education. Their heightened focus on doing the right thing, coupled with the positive effect high-impact change would have on the culture, motivated them to take purposeful, courageous principled-actions against immoral, unethical, and illegal policies and practices. The authentic leaders used all available political skills they possessed at the time to oppose the status quo, resist institutional pressures, and persist with affecting positive change within their institutions. The highly authentic leaders made the conscious decision to continue their efforts toward positive change until they either succeeded or were redirected by external forces beyond their control, i.e. Administration pressuring them to leave. So strong was their personal conviction that *this was the hill they were willing to die on* that they resisted, ignored, or marshaled the strength to push through their fears and continued with their efforts. As one participant explained her resistance to succumbing to institutional pressures, "you don't care more than you don't get it."

All of the participants were satisfied with their professional efforts to affect positive change in the extreme situations they faced. They understood and accepted that they had done everything they could to affect change at that time in their lives. They had marshaled all of their personal resources, competencies, and energies at the time and

expended these personal assets. They all realized that they had gone beyond what most other senior administrators would have chosen to do or had done in the past.

None of the participants was willing to accept the idea that they had reached the pinnacle of their success after having survived such a significant event in their lives. Each of them indicated that they had grown significantly during their adversity and would use the insights and growth personally so that they could accomplish even more when the next opportunity arose. As high achievers, none of them was satisfied with the results of their actions since their careers had been redirected, voluntarily or involuntarily, which allowed the institution to maintain or devolve into the status quo. However, as pragmatic high achievers, they willing acknowledged that they had accomplished much. They trusted that those at their former institutions might have learned from their actions and would choose in the future to implement personal or institutional change on their own.

Participants were confident that their efforts were concordant with their purpose in life. As high achievers, they may have been dissatisfied with the success level they attained prior to career redirection, but the universal and spiritual perspective that they had made every effort to do the right thing for the right reasons and for the right people, which worked toward positively promoting the common good was satisfying.

Higher Education Administration

Higher education, as a multi-billion dollar industry, has encountered many internal pressures to maintain traditional cultures of shared governance, autonomy, academic freedom, and a sense of sovereignty from all external constituents and

pressures. Many of the typical administrative issues that arise in higher education are a direct function of the tradition of maintaining the status quo. Internal power struggles over resource allocation, autonomy, governance, and the mission of the institution are everyday annoyances. These annoyances are minimal when compared to the extreme situations faced by the participants in this study.

In this study, unethical practices of bullying people into acquiescence, character assassination to ensure silence, and subtle distortions of fact to manipulate outcomes should have been significant institutional concerns. Immoral policies of discrimination or grade enhancement, immoral practices of not enforcing hazing policies that protected students, or marshaling self-enhancing political agendas that were counter to the institutional mission also should have been significant institutional concerns. Illegal use of financial aid or federal grant monies, nepotism, inappropriate payroll authorizations, and securing state positions for friends without notifying the public through job postings should have been even more significant institutional concerns.

All six of the participants had invested their time, energy, and talents to complete graduate degrees (MBAs, PhDs, EdDs) so they could attain higher professional positions within their institutions. Only one of the six aspired to a future appointment as a president. These senior administrators chose higher education as a means to follow their purposes in life to make a difference through promoting education for everyone within the society. They did not choose higher education to become wealthy or to access the power afforded by such large affluent institutions.

As high achievers, these senior administrators naturally sought to shift their institution's inauthentic cultures toward more authentic cultures to enhance the common good. They used their credentials, their skill sets, their resources, and their networking connections to promote policies and programs that promoted individual and institutional eudaimonia. They astutely identified, analyzed, and sought solutions for inauthentic practices and policies that adversely affected people, institutions, and society. The primary factor setting them apart from other intelligent, motivated colleagues around them was their willingness to push beyond their own comfort zones to affect change. Other factors included their awareness of their own value systems, their willingness to promote and integrate their value systems into the institutional system, and the waypower they exercised to affect positive high-impact change for the common good. Some of these senior administrators self-sacrificed their careers because of their strongly held beliefs of the justice of their causes.

The institutional pressures brought against all of these senior administrators were counterproductive to affecting positive change, but concordant with maintaining the status quo. Such opposition to the status quo remained the primary factor provoking these institutional pressures. But these senior administrators could not ignore these problematic policies and practices, or deny their adverse impact, or collaborate and collude with those maintaining the status quo. Senior administrators who made efforts to affect positive change found such efforts frequently unwanted by their institutions; therefore, their efforts were often difficult, opposed, and unpopular, which led to feelings of solitary isolation.

All six participants left legacies of models for strong positive value systems, positive modeling, transparent behaviors, authentic relationships, and veritable and sustainable policies, programs, and practices at their institution, which was a significant contribution to society. However, their most significant legacy would be the examples set for other senior administrators, other authentic leaders, and other individuals aspiring to advocate for social justice, marginalized people, those less privileged, and for the common good.

All six participants, as authentic, very authentic, and highly authentic leaders, conformed to the higher education administration research literature on emergent leadership, which was considered effective within organizations using shared governance. Participants were multi-faceted leaders who effectively managed meaning, led change, and used an inspirational leadership style where the focus was on the message and not the person. The inertia permeating bureaucratic institutions, the perpetual conflict permeating political institutions, and the self-enhancement focus of the faculty who permeated anarchical institutions hampered effectiveness. Effectiveness was influenced, however, by the political waypower and willpower of each participant.

From Theory to Practice ~ Insights from Authentic Leaders

All participants stressed knowing one's purpose in life and following that purpose. Analyzing the competencies and credentials necessary to accomplish effectively that purpose in life was essential. Then developing those competencies and pursuing the needed credentials indicated the commitment toward ensuring success.

Knowing one's value system and sensitively promoting that value system was important. Courageously advocating for that value system was even more important. Accepting that others may not support one's value system or have the strength to take the administrative stands one had taken was important. Individual differences mean that not everyone had the same purposes in life to follow.

Seeking the right outcome was important, but seeking the right outcome in the right way was even more important. How one treated people, with kindness, caring, respect, and compassion regardless of their support or opposition to one's cause, was the right way to accomplish one's goals. Followers noticed what one did, which would affect their perceptions, which in turn affected one's reputation and ability to influence others toward the good.

Self-awareness and self-regulation cannot be accomplished without a focus on personal and professional growth. Growth always took time, effort, and risk. Without significant levels of honesty, personal growth would not occur and could constrain professional growth. A heightened focus on personal honesty benefited the individual, the institution, and society. Personal and professional growth for the self was more meaningful when shared through mentoring, authentic relationships, and follower development. Sharing one's experiences and attendant insights was a gift that one extended to others through transparency, authenticity, and positive modeling.

Bridging the gap between value systems, decision-making, and taking action was the key to leadership. Individuals weak in leadership might share the same value system and might even have the same expertise for decision-making, but their hesitation to act

when courage was required set them apart from authentic leaders. Action for the sake of action or action based on opposing personalities was inauthentic. Principled-opposition or positive deviance that promoted high-impact change with the focus of developing, supporting, and maintaining eudaimonia for the common good was the goal of authentic leadership.

Authentic leadership is developed by taking the more difficult path. It required conscious awareness of the self, to strengths and weaknesses and willingness to work toward self-improvement. It required a tolerance of ambiguity and willingness to risk. It required consciously seeking out opportunities to practice sound yet ethical decision-making, as well as strategically determining the appropriate principled-action. Then it required consciously seeking opportunities to practice competencies, judgments, sensitivities, and character to build confidence, competence, and persistence and resilience. Finally, it required a critical analysis of competencies, intentions, motivations, and successes, as well as taking the appropriate steps to learn from past experiences, others' experiences, and the role models within one's purview. The more congruent these factors were with the purpose in life, the more motivation would be felt for continuing the efforts toward personal and professional growth. Authentic leaders know and follow this process throughout their lifetimes.

Recommendations for Further Study

Continuing the efforts to design a psychometric assessment tool to measure authentic leadership would contribute greatly to study in the field of leadership.

Continuing and enhancing the study of emergent leadership in higher education and integrating authentic leadership research would positively influence change within traditional social institutions through the development of highly effective leadership.

Identifying additional authentic leaders and publishing their insights would encourage developing authentic leaders and validate the benefits of achieving higher levels of authenticity and a propensity to take and promote courageous principled-action. These insights would also support the theoretical framework for a professional development curriculum based on the authentic leadership model.

Final Thoughts

This study shows that although not everyone in leadership is an authentic leader, everyone has the potential to become an authentic leader. The conscious choices that evolve the psyche toward authenticity start early in life and consciously continue throughout the person's lifetime. Being aware, being conscious, and being authentic takes forethought and intentionality toward one's perceived or understood purpose in life. Being able to act upon these factors takes moral courage, a focus on humanity, principled decisions, and the motivation to take courageous principled-actions that make a difference toward the public good. This is not martyrdom: it is a willingness to self-sacrifice for the public good while balancing pragmatism with a strong principled value system, a sense of agency, and the competencies to make a positive difference in the world.

When people discovered that I was engaged in research, they wanted to know the research topic and what conclusions I hoped to find. When discussing authentic

leadership with them, many people would smile. When discussing courageous principled-action with them, however, many people appeared uncomfortable. Reactions differed depending on the audience. The contrasts were significant and telling.

Society

Many people expressed the opinion that authentic leaders were the kind of leaders they had been looking for as partners, superiors, church leaders, politicians, and presidents. They viewed authentic leaders as those set apart from others by their values, their adherence to them, and their willingness to work for these values to promote and enhance the public good.

Almost immediately, the smile of recognition of what was wanted in leaders was replaced with expressions of self-doubt. How did the listeners measure themselves to such an ideal? How would they react when faced with such adversity? Would they take such administrative stands, maintain that stand against institutional pressures, and accept that the consequences of such a stand were worth the benefits of being true to themselves? Their self-doubts appeared to grow exponentially as they reflected on their past decisions. They intrinsically knew the answer. They had made difficult decisions multiple times in their lives even if those decisions did not necessitate that they give up their careers rather than look the other way, collaborate with the status quo, or collude with those who were opposing those change agents who were trying to make a positive difference. The self-reflection seemed to push some of them into an anger and/or denial mode.

When speaking with strangers, the strangers seemed to be able to push through their self-doubts and anger to hold onto their hope of being about to do better than they had in the past. They would optimistically say, "I hope that I could do such brave things … especially in the future," "I don't know if I could stand up against the power people, but I would love to be able to *speak truth to power*," and "those are very courageous people you are writing about."

When speaking with acquaintances, friends, and family, they as a collective group seemed to reflect more on, "does she think I would take such a stand or does she think I would be one of those in denial?" The acquaintances were in awe that anyone would consider giving up so much to take a stand. "I think those are some brave people you found," "seems to me they are stronger than most of us," and "I wish I could be like them." Several friends and family reacted very strongly and surprisingly. "Not everyone can just give up everything like that!" "I can't believe you think people should just throw away their careers like that! And for what?" "Not everyone has the financial luxury to just throw themselves on the sword as you are suggesting we all do."

Authentic Leaders

When the six authentic leaders first heard they had been selected for the study, each expressed that the administrative stand they had taken did not sound lofty enough for such a study. They expressed the sentiment that they merely did what they thought was right, the administration disagreed, and their careers were redirected shortly thereafter. To them, it was what it was: nothing lofty. As the conversation with the participants turned to interview questions, it became apparent that the decision to be this

way started at a very early age. Their early recognition of a purposeful life increased self-awareness of their values and how those values could be put to use in the world. How could they make differences that would promote and enhance the public good? Because of this level of self-awareness, they had spent their lifetimes developing and building the character strengths that would support their value systems and enhance their moral courage to the point that they could and would take authentic actions on a daily basis and courageous principled-actions when the situation necessitated such action.

All six authentic leaders quickly added that they did not always take the action they believed they should, but they learned from those times when they did not and resolved to act differently when the next occasion arose. The strongest sentiment that they expressed repeatedly was that they did not feel particularly brave taking such stands. They felt fear, but fear with resolve; in putting themselves at risk by doing what they intuitively knew was the right thing meant everything would work out for the best from a universal perspective as long as they did *the right thing*. So they made the principled-decision, they took the courageous principled-action, and they were willing to live with the benefits and the consequences of those decisions and actions…just like an authentic leader would.

Ultimately, they did know that they were different from most other people around them, but this difference was not judgmentally considered better. They understood and acknowledged that everyone was at different places in life; everyone had not had the same opportunities as they; everyone had not had the same resources in this life that would require making the same decisions; and finally, not everyone had the same spirit

with attendant purpose in life necessary to allow making the same decisions. They acknowledged that no one person could bring about this level of harmony, yet through everyone's collective efforts, the public good would be effectuated.

The Employees of an Authentic Senior Administrator

The authentic leaders in this study expressed the sentiment that they did not know if any of their employees benefited from their actions or truly understood why their senior administrator had taken the administrative stand that they took. They intuitively knew Administration understood, but did those they had been positively modeling for years understand the message? An informal discussion with one group of three employees who had witnessed their senior administrator get redirected from her career for opposing the corruption within their department provided the answer. Two of the employees were coordinators and one was a supervisor. None aspired to be a leader before meeting their senior administrator. None had the credentials or experience that would have allowed them to apply for an administrative position, and none of them wanted the stressors involved in leadership. However, after watching, listening, and being mentored by their senior administrator for years, they had a change of thinking and understanding.

All three employees confessed that their senior administrator taught them that everyone could make a difference, and what one did every day affected those around them, even people they did not know. They learned that they were a piece of the puzzle just like the senior administrator and that everyone had their part in completing the puzzle. They found the courage to be self-aware knowing that such awareness could steer them toward their own purpose in life. They watched the senior administrator and

asked themselves, “How can I make a difference in the world?” One employee learned to stand up against those who wanted her to mismanage spending at work. Another employee joined the union and became an advocate for her colleagues in the workplace. The other employee found her way by teaching others how to be efficient and effective with a customer service focus so that their institution’s customer base, and therefore society, would benefit.

All three of these employees strongly expressed their appreciation for the positive modeling they had witnessed and how that mentoring had made a difference in their lives. They knew that today, because of this significant role model and many of the significant events they had witnessed related to her administrative stand, they had more courage to take courageous principled-actions than they did the day before. They expressed this difference in their lives as pervading their personal and professional lives, as well as the lives of those who encountered them. It was the ripple effect in action. Their lives had been touched, so they touched the lives of those around them, who in turn touched the lives of those around them.

What more can any authentic leader want? Eudaimonia. It is enough.

Appendices

Appendix A. Letter of Invitation to Participants

Date

Participant Name
Address
Address

Dear Participant:

I am a PhD candidate in Higher Education Administration at The University of Texas at Austin. I am currently researching the "Life Stories of Authentic Leaders in Higher Education Administration." Your years in higher education senior administration, reputation as an authentic leader, and experiences with complex administrative issues have uniquely qualified you as a participant for this exciting leadership study.

Authentic leadership is the underlying premise for all the positive leadership theories, including transformational, charismatic, servant, and spiritual leadership. Authentic leaders are self-aware of their strengths and weaknesses, strong level of moral development, value systems and ethical philosophies, level of maturity, and their mission (purpose) in life. They use self-reflection to enhance their own personal and professional growth, while focusing on the personal and professional growth of those around them. They also seek to create, enhance, and maintain personal and professional environments that are authentic (genuine), positive, nurturing, and productive. Authentic leaders stand up against unethical, immoral, or illegal behaviors, policies, or people in order to affect positive institutional change.

Selection criteria includes being identified as an authentic leader, a senior administrator at a large research (public or private) institution, and more than 40 years of age. Each participant has been identified as having taken a professional stand against an unethical, immoral, or illegal behavior, policy, or person, which they knew, or should have known, would potentially jeopardize their professional careers and yet they still resisted the status quo to affect positive institutional change.

Participation would require some initial preparation through self-reflection to identify values, motivators, ethical philosophies, significant events, significant role models, and your personal assessment on what gave you the inner drive and strength to take the professional stance you took. During January or February 2007, one three-hour interview will be scheduled at a time, date, and location of your choosing to discuss your thoughts on the significant issues within your lifetime that have shaped and developed you into the person and leader you are today. A one-hour follow up interview to discuss results and additional findings will be scheduled in February 2007.

Based on the selection criteria, you can see that you are a member of an elite group of senior administrators who have focused much time and energy on making improvements in higher education. As a past senior administrator comfortable with managing confidential administrative issues, confidentiality is guaranteed. This is your opportunity to tell your story so that other leaders and senior administrators can learn from your experiences on how to become authentic leaders. Additionally, the benefits to the authentic leadership scholarship will be immeasurable.

Please consider participating in this study and then call me at (xxx) xxx-xxx or e-mail me at mmeacham@gmail.com with your decision.

Appendix B. Authentic Leader Packet For Participants

Authentic Leader Packet

Materials Included

(1) Survey of Values
(2) Survey of Ethical Philosophies
(3) Survey of Motivating Values
(4) Survey of Character Strengths

Note: Please take some time to reflect on the surveys provided and determine which values, ethical philosophies, motivating values, and character strengths influence your decision-making and actions. There are no right or wrong choices and multiple choices per list are appropriate.

Also, please reflect upon the significant events and significant role models in your lifetime that have influenced who you are today. You can use any notes you have made to prompt your memory during the interview.

Finally, please reflect on your personal insights into what philosophies, values, events, and people gave you the intrinsic motivation, drive, and strength to take the positive professional stand you took.

If you accept this invitation to participate in this study, I will follow up with you in November or December 2006 to schedule an initial interview in January or February 2007 at a time, date, and location of your choosing.

Participation in this study is strictly voluntary. As a product of this doctoral study, This Researcher and The University of Texas at Austin are committed to creating a supportive, nurturing, and reciprocal research environment. Therefore, those qualifying based on the selection criteria will be encouraged, welcomed, and included based on their status within any affected group – age, gender, race, ethnicity, national origin, gay, lesbian, bisexual, transgender, marital status, handicap, political persuasion and/or religion.

SURVEY 1

Circle the 5 most significant values you live by –
Then rank order your choices –

• COMPASSION	• MORAL COURAGE
• FREEDOM	• OBEDIENCE
• GENEROSITY	• PEACE
• HONESTY	• RESPECT
• HONOR	• RESPONSIBILITY
• HUMILITY	• SOCIAL HARMONY
• JUSTICE	• ACCEPTANCE
• LOYALTY	• SOCIAL JUSTICE
• INTEGRITY	• TRUSTWORTHINESS
• KINDNESS	• CARING
• EMPATHY	• HUMAN RIGHTS
• LIBERTY	• COLLECTIVE WELL-BEING
• EQUALITY	• BROADMINDEDNESS
• DIGNITY	• ADD YOUR OWN

SURVEY 2

Circle the ethical philosophy(ies) appropriate for your usual decision-making processes – Then rank order your choices –

ETHICAL PHILOSOPHY	DESCRIPTIONS
Philosophy of Egoism	Egoists base their ethical decisions and actions on the philosophy of always acting for perceived self-interest, usually in the long term, even at the expense of the well-being of others.
Philosophy of Self-Realization	Self-Realists base their ethical decisions and actions on the philosophy of acting in whatever manner will actualize self-potential, understanding that their development will indirectly or directly affect others.
Philosophy of Natural Law	Natural Law Adherents base their ethical decisions and actions on the philosophy of acting upon those principles they perceive represent the natural law or inherent order within the universe.
Philosophy of Divine Law	Divine Law Adherents base their ethical decisions and actions on the philosophy of acting upon those principles associated with the divine Will of God. These principles are often expressed through scriptural revelations, Church teachings, and direct illuminations from God.
Philosophy of Deontology	Deontologists base their ethical decisions and actions on the philosophy of acting upon those moral principles innately sensed as a moral duty. These principles emphasize moral obligation rather than a God inspired or driven emphasis.
Philosophy of Consequentialism	Consequentialists base their ethical decisions and actions on the philosophy of acting for the Good (ends), which will determine the Right (means). The focus is on determining which Good you are striving for so that the Right course of action to reach the Good will become clear and can then be taken.

SURVEY 3

Circle the value(s) that motivate your actions – Then rank order your choices –

MOTIVATING VALUE	MOTIVATED BY
Power	...prestige, social status, and the ability to dominate people and resources.
Achievement	...personal success felt when demonstrating competencies.
Hedonism	...feelings of personal gratification and pleasure.
Stimulation	...choices and actions that lead to excitement and challenges in life.
Self-Direction	... opportunities requiring independent thought and action to choose, create, and explore.
Universalism	...an understanding of, appreciation for, acceptance of, and focus on the protection of the welfare of people and nature.
Benevolence	...the desire to preserve, protect, and enhance the welfare of those people closest in proximity.
Tradition	...perceptions of respect, commitment, and acceptance of traditional ideas and custom, which are often religiously or culturally constructed.
Conformity	...societal norms and the need to restrain impulses, inclinations, and actions contrary to these accepted and established norms.
Security	...the stability, safety, and perceptions of harmony within the relationships with self, others, and society.

SURVEY 4

Circle the strength(s) from Column 2 only that you have strongly developed over your lifetime –

CHARACTER STRENGTHS	DESCRIPTORS OF STRENGTH
	(Circle as many as apply)
Wisdom and Knowledge	creativity, curiosity, judgment, intellectual curiosity, perspective
Courage	bravery, diligence, integrity, authenticity, enthusiasm
Love	intimacy, kindness, altruism, social intelligence, generosity
Justice	citizenship, loyalty, teamwork, fairness, equity, leadership
Temperance	forgiveness, mercy, modesty, humility, prudence, self-regulation
Transcendence	an appreciation for excellence, gratitude, hope, optimism, playfulness, humor, spirituality, and a sense of purpose

Appendix C. Participant Consent Form

IRB# 2006100142

Informed Consent to Participate

The University of Texas at Austin

You are being asked to participate in a research study. This form provides you with information about the study. The Principal Investigator (the person in charge of this research) will provide you with a copy of this form to keep for your reference, and will also describe this study to you and answer all of your questions. Please read the information below and ask questions about anything you don't understand before deciding whether or not to take part. Your participation is entirely voluntary and you can refuse to participate without penalty or loss of benefits to which you are otherwise entitled.

Title of Research Study:

Life Stories of Authentic Leaders in Higher Education Administration

Principal Investigator, UT affiliation, and Telephone Number:

Margaret Meacham, MBA, PhD Candidate in Higher Education Administration at The University of Texas at Austin, 512-461-1490 (mbl), 512-232-4245 (wk).

Funding source: Not Applicable.

What is the purpose of this study?

Identifying what factors gave the participants (Authentic Leaders who are Senior Administrators in Higher Education) the interpersonal strength to act authentically and courageously when faced with unethical, immoral, or illegal issues in the workplace (higher education) will be studied. By validating their authentic leader development, identifying themes, significant events and insights from their life experiences, and identifying the uniquenesses of those who took such courageous principled-actions, theoretical and practical implications will be identified to assist with the authentic development of other senior administrators in higher education, corporate leaders, and leaders from other social institutions. This study will also be used by the Authentic Leadership scholars (University of Nebraska at Lincoln) in their analyses for model development.

What will be done if you take part in this research study?

The researcher will send you an *Authentic Leader Packet* and have you complete five (5) surveys (approximate completion time: 1 hour), as well as reflect on the significant events and/or significant people in your life who have made you the person you are today (approximate completion time: 1 hour). Writing down reminder notes for use during the interview is encouraged. Initial interviews (maximum: 3 hours) will be scheduled and completed. Participants will be sent a transcript of their interview and will check for accuracy. A Follow Up Interview (maximum: 1 hour) will be scheduled and completed.

The Project Duration is:

Participants will interview based on their individual schedules in January and February 2007 at a location of their choice in their local city.

What are the possible discomforts and risks?

Psychological stress may occur based on self-reflection of significant life events. Risks of being identified with this study have been minimized by *waiving* the necessity to sign a *Written Consent* form.

What are the possible benefits to you or to others?

Possible benefits include participation in the development of the Authentic Leadership Model, telling one's story, and enhancing the leadership literature for higher education administration.

If you choose to take part in this study, will it cost you anything?

There are no costs associated with participation in this study.

Will you receive compensation for your participation in this study?

No compensation is associated with participation in this study.

What if you are injured because of the study?

Not applicable to this study.

If you do not want to take part in this study, what other options are available to you?

Your participation in this study is entirely voluntary. You are free to refuse to be in the study, and your refusal will not influence current or future relationships with The University of Texas at Austin or the Researcher.

How can you withdraw from this research study and who should you call if you have questions?

If you wish to stop your participation in this research study for any reason, you should contact the principal investigator: *Margaret Meacham* at (512) *461-1490.* You should also call the principal investigator for any questions, concerns, or complaints about the research. You are free to withdraw your consent and stop participation in this research study at any time without penalty or loss of benefits for which you may be entitled. Throughout the study, the researcher will notify you of new information that may become available and that might affect your decision to remain in the study.

In addition, if you have questions about your rights as a research participant, or if you have complaints, concerns, or questions about the research, please contact Lisa Leiden, PhD, Chair, The University of Texas at Austin Institutional Review Board for the Protection of Human Subjects, or the Office of Research Compliance and Support at (512) 471-8871 or Marilyn Kameen, EdD, Associate Dean of Education & Dissertation Committee Chair (512-471-7255).

How will your privacy and the confidentiality of your research records be protected?

Your name, institutional position, and institution will not be on any paperwork pertaining to this research study. A generic identifier will be used for each participant. Any identifying information relayed by the participant during interviews will be edited by the researcher. Those participants living in the top half of the Southwest Region will have their interviews transcribed by a transcription provider corporately located in the bottom half of the Southwest Region to ensure confidentiality. Those participants living in the bottom half of the Southwest Region will have their interviews transcribed by a transcription provider corporately located in the top half of the Southwest Region to ensure confidentiality. Each participant will check their transcript for accuracy prior to the Researcher's analysis and inclusion in the study.

If in the unlikely event it becomes necessary for the Institutional Review Board to review your research records, then the University of Texas at Austin will protect the confidentiality of those records to the extent permitted by law. Your research records will not be released without your consent unless required by law or a court order. The data resulting from your participation may be made available to other researchers in the future for research purposes not detailed within this consent form. In these cases, the data will contain no identifying information that could associate you with it, or with your participation in any study.

The Initial Interview and the Follow Up Interview will both be recorded using digital audio equipment. Therefore, "(a) the interviews or sessions will be audio recorded; (b) the digital wave file will be coded so that no personally identifying information is visible on them; (c) these wave files will be kept in a secure place (e.g., on a password protect computer); (d) they will be heard or viewed only for research purposes by the investigator; and (e) they will be erased/deleted after they are transcribed or coded.

If the results of this research are published or presented at scientific meetings, your identity will not be disclosed.

If participants choose to allow the researcher to interview them in their personal homes or any other non-public location, the researcher is bound by state law to report any observed or suspected

occurrences of child abuse or elder abuse; hence, confidentiality will be broken by the researcher in compliance with state law. Child Protective Services and/or the Texas Department of Family and Protective Services will be notified.

Will the researchers benefit from your participation in this study*?*

The only benefit to the researcher from your participation will be the publication of the results from the study.

General Information:

A) Participants will choose the day(s) and time(s) for their in-home in person interview.

B) Participants will be given notice at least 24-hours prior to the researcher's visit at their home or other non-public place where they will be interviewed. The researcher will not show up unannounced.

Signatures:

As a representative of this study, I have explained the purpose, the procedures, the benefits, and the risks that are involved in this research study:

Margaret Anne Meacham, MBA _____

Name of Person Obtaining Consent **Date**

You have been informed about this study's purpose, procedures, possible benefits and risks, and you have received a copy of this form. You have been given the opportunity to ask questions before you sign, and you have been told that you can ask other questions at any time. You voluntarily agree to participate in this study. By signing this form, you are not waiving any of your legal rights.

_____

Signature of Principle Investigator **Date**

Appendix D. Interview Questions

Interview Questions

1. Tell me a little bit about your institution and your administrative position.
2. Tell me a little bit about your last administrative stand.
3. Tell me a little bit about your values from Survey 1.
4. Tell me a little bit about the ethical philosophies you chose from Survey 2.
5. Tell me a little bit about the values that motivate you (Survey 3).
6. Tell me a little bit about the character strengths you ranked (Survey 4).
7. Tell me a little bit about some of the significant events in your life that influenced you to become the leader you have become?
8. Tell me a little bit about some of the significant people in your life that influenced you.
9. Tell me a little bit about what factors you perceive gave you the courage to take the final administrative stand that you did.
10. How are you different from the other leaders around you?
11. Knowing everything you know today...and given the same circumstances, would you do anything differently?
12. Thanks for participating in this study...do you have any questions for me?

Appendix E. Ipsative Authentic Leader Profile Form

Participant Profile

Participant #: _____ **Researcher: Meacham**

Authentic Leader Characteristics Characteristics

_____ Accountable
_____ Agency
_____ Altruistic
_____ Compassionate
_____ Concerned
_____ Concordant
_____ Confident
_____ Congruent
_____ Credible
_____ Desire to Lead
_____ Driven
_____ Empathetic
_____ Expressive
_____ Fair
_____ Honest
_____ Hopeful
_____ Humble
_____ Interested
_____ Introspective
_____ Mission in Life
_____ Optimistic
_____ Other-Directed
_____ Passionate
_____ Resilient
_____ Self-Determined
_____ Self-Efficacious
_____ Self-Reactive
_____ Self-Reflective
_____ Sincere
_____ Transparent
_____ True to Self
_____ Wisdom

Authentic Leadership Model

_____ Authentic Relationships
_____ Follower Development
_____ Positive Modeling
_____ Self-Aware
_____ Self-Regulated

Courageous Principle Action Characteristics

_____ Forethought
_____ High-Impact Change
_____ Intentionality
_____ Introspective
_____ Long-Term Focus
_____ Opposed Status Quo
_____ Politically Skilled
_____ Positive Change
_____ Positive Deviance
_____ Principled-Opposition
_____ Self-Reflective
_____ Self-Sacrificial

_____ Affinity for People
_____ Feelings of Responsibility for Others
_____ Focus on Common Good
_____ Focus on Inclusiveness
_____ Respect for Others
_____ Understand Others' Needs
_____ Willing to Risk Self for Others or Principles

Transcendent Values

_____

_____

_____

Ethical Philosophies

_____

_____

_____

Motivators

_____

_____

_____

Character Strengths

_____

_____

_____

Significant Events

Values
Dilemma
Outcome
Insights

Significant People

Characteristics
Values Held
Lessons Learned
Insights

Courageous Principled-actions

Issue (Unethical, Immoral, Illegal; Policy, Practices)
Value Conflict
Institutional Pressures
Outcome
Beneficiaries
Insights

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Vita

Margaret Anne Meacham was born in Edinburgh, Scotland on December 13, 1959 and adopted by American parents, Doris Baucom Meacham and Arthur Jackson Meacham in July 1964. The family lived in Charleston, South Carolina, Pascagoula, Mississippi, and Gautier, Mississippi. After graduating from Pascagoula High School in May 1977, she briefly attended the Mississippi Gulf Coast Community College in Gautier prior to transferring to Mississippi University for Women in Columbus. She graduated *cum laude* in December 1980 with a Bachelor of Science in Health, Physical Education, Recreation, and Dance and a minor in Biology. She graduated from Louisiana State University in Baton Rouge in August 1982 with a Master of Science in Physical Education. Her thesis was titled, *Filmed Demonstration versus Teacher Demonstration in Teaching Swimming*. After working in higher education for several years, she graduated from Texas Tech University in Lubbock in August 1991 with a Master of Business Administration in Management. In August 1995, she added certification in Health Organization Management (HOM) to the MBA. After working in higher education for several more years, she was admitted in August 2004 to the Graduate School of The University of Texas at Austin.

Meacham's professional career in higher education began with teaching and coaching swimming, diving, and gymnastics, as well as refereeing collegiate volleyball. She moved into higher education administration managing residential dormitories and coordinating safety and security for a sports/concert arena. After a brief stint as a private entrepreneur while completing her MBA, she returned to higher education administration

managing the operations for a Family Medicine physician residency program. Later she moved into administration for the clinical operations of the Family Medicine physician residency program and then into senior administration over the educational and clinical operations for the Orthopaedic physician residency program. In addition, she had senior administrative oversight for two other departments, Surgery and Obstetrics & Gynecology. She resigned her position at Texas Tech Medical Center in Lubbock in July 2003 as Senior Administrator for Orthopaedics and Assistant Director for Clinical Administration to move to Austin and attend The University of Texas at Austin to complete a PhD in Higher Education Administration. While completing her doctoral work, she currently teaches seniors the Senior Leaders Program (leadership) and the Senior Pathways Program (personal growth) for the UT College of Undergraduate Studies.

Meacham and her longtime partner of 20 years, Nancy Hickman, have two grown children, Chari and Cavin, with two young grandchildren, Joshua and Cooper. Her hobbies include reading, reading, and reading.

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